Social Security

Information Resources Management Strategic Plan

Fiscal Year 2006

www.socialsecurity.gov

From the Office of the Chief Information Officer

SSA has made great strides in meeting its strategic goals and objectives and supporting the President's Management Agenda. Efficient and effective management of our Information Technology (IT) resources is a major factor in the progress made and in the results achieved.

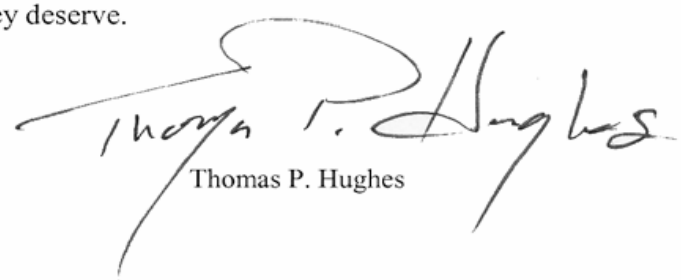
The Agency is using a variety of tools and techniques to improve performance and productivity, and has made significant advances in a number of areas. For example, SSA's project managers are using the latest techniques in Earned Value Management (EVM) to manage projects. Our EVM process also provides executives with visibility into performance, cost and schedule. The Agency continues to refresh its training curriculum to ensure we provide the latest in project management and EVM skills and techniques.

We continue to improve and expand electronic services for citizens. The Internet Social Security Benefits Application and Help with Medicare Prescription Plan Drug Costs Application received ratings from the Federal American Customer Satisfaction Index showing them as the best in Government. We have updated Social Security.gov and put in place a new governing structure to ensure that our content is current and accurate. Many electronic services can be accessed by using the Agency's National 800 Number Network automated telephone processing. Techniques include speech recognition and speak freely, technologies that allow callers to use their voice to automate current transcription workloads and express their needs in response to direct questions instead of using a key pad.

SSA has taken its responsibility to implement the provisions of the FY 2005 Federal Information Security Management Act (FISMA) very seriously. As a result, the Agency has received an A+ on the FY 2005 FISMA scorecard from Congress. SSA was one of five Federal agencies to receive this high score. The score indicates the Agency's strong security controls for its major IT systems.

SSA is carefully integrating Internet Protocol version 6 functionality and capability into its IT and Network Infrastructure; at the same time we are continuing to support our legacy Internet Protocol version 4 infrastructure and applications. SSA's Enterprise Architecture establishes the framework to ensure that IT investments align with the Agency's strategic business plans.

In FY 2006 we will continue to focus on the implementation of the electronic disability process (eDib), which is important to improving service and efficiency, and is a vital precursor to the successful implementation of the Disability Service Improvements initiative. We will also continue to invest our IT resources in developing electronic processes to support provisions of the Medicare Modernization Act, our responsibilities under the Intelligence Reform and Terrorism Prevention Act of 2004, and other legislative mandates as they arise. All of these challenges become opportunities to succeed. Successful performance and results are key to delivering the quality of service to our citizens that they deserve.



Thomas P. Hughes

This Page Has Been Left Blank Intentionally

Table of Contents

Figures

Tables

Executive Summary

In his January 17, 1935 message to Congress on Social Security, President Franklin D. Roosevelt reminded his audience that among the main objectives of "our American program…was, and is, the security of the men, women and children of the Nation against certain hazards and vicissitudes of life." The Social Security program which was born more than seven decades ago, now touches the lives of over 95 percent of the American public. In addition to administering the Old Age and Survivors Insurance (OASI), Disability Insurance (DI) and the Supplemental Security Income (SSI) programs, the Agency also provides service delivery support to the Medicare, Medicaid, Railroad Retirement and Food Stamp programs.

In support of these programs, SSA's mainframe data stores contain approximately 190 Terabytes of data and its open, client-server data stores maintain 100 Terabytes. These data stores represent one of the largest sets of electronic records of any civilian Federal agency. In FY 2005 these data sets supported an average daily volume of nearly 48 million individual transactions, compared to 42 million in FY 2004.

What is the IRM Strategic Plan?

The Social Security Administration's (SSA) Information Resources Management (IRM) Strategic Plan is both a vision for the future use of information technology in SSA and a description of how current and near term IRM activities help accomplish the Agency's mission and realize SSA's strategic goals and objectives. The IRM Strategic Plan is aligned with and driven by SSA's Agency Strategic Plan (ASP), the Administrative Budget and the Annual Performance Plan (APP), and it supports the President's Management Agenda (PMA). The IRM Strategic Plan is a key component in SSA's information technology (IT) capital planning and investment control (CPIC) process that is used for the ongoing selection, control and evaluation of investments in information resources.

The ASP establishes the course for achieving the goals that are essential to fulfilling the mission of the Agency. The four comprehensive strategic goals are:

- To deliver high-quality, citizen-centered service;
- To protect the integrity of Social Security programs through superior stewardship;
- To achieve sustainable solvency and ensure social security programs meet the needs of current and future generations; and
- To strategically manage and align staff to support the mission of the Agency.

The APP is aligned with the ASP and describes the specific levels of performance the Agency is committed to achieve for each of the strategic goals and associated long-term objectives during the current and upcoming fiscal years. IRM activities play a

key role in the support of short-term mission performance and in the attainment of strategic goals and objectives.

How Does the IRM Strategic Plan Support Agency Goals?

IRM Strategic Plan activities support the objectives of each of the strategic goals. Two of the objectives to help accomplish the service goal are aimed at the disability process, i.e., making the right decision in the disability process as early as possible, and increasing employment for people with disabilities. The third objective is improving service through technology. The Electronic Disability initiative is helping to reduce delays and work effort inherent in mailing, locating and organizing paper folders. In 2006 SSA will continue rollout of the electronic disability folder.

Two of the objectives for the superior stewardship goal involve increasing the accuracy of earnings records and efficiently managing Agency finances and assets. To those ends, SSA is improving its Electronic Wage Reporting System (EWRS) to more effectively enable the submission of wage reports electronically, and is expanding services to wage reporting customers by providing information on processing results, testing capabilities, and customer support. Another initiative, vital to the objective of efficiently managing Agency finances and assets is the Social Security Unified Measurement System (SUMS) and the Managerial Cost Accountability System (MCAS). SUMS focuses on the detailed data needed by managers and employees to track, monitor and forecast critical Agency workloads, while MCAS focuses on critical performance and financial information needed by managers and employees throughout the Agency.

With regard to solvency, the IRM Strategic Plan must maintain flexibility so that both the Enterprise Architecture (EA) and the Human Resources plans can accommodate solvency solutions that may significantly affect IT priorities and resources.

To recruit, develop and retain a high-performing workforce is the objective of the goal to strategically manage and align staff to support SSA's mission. Chapter 9 of this plan describes our strategy to recruit, retain and train SSA's most important asset, its Human Capital Skills inventory surveys coupled with environmental forecasts drive the planning needed to recruit new personnel as well as to train the workforce in new skills. IRM activities include providing the infrastructure, telecommunications and office automation support needed by all of our employees. Interactive Video Teletraining is used to provide training to SSA's widely dispersed staff. SSA is using the Internet to give employees access to approximately 2000 courses from work or from home. SSA is developing efficient tools such as decision support software and more fully automated case processing systems to support higher productivity per employee.

What are Some of the Other Major Factors in IRM Planning?

SSA efficiently integrates activities across all its programs through a single national service delivery structure. This service delivery structure is supported by the Agency's EA that describes and documents the current and desired relationships among business and management processes and IT. The EA is based on the Agency's

view of future service delivery, ensures compliance with the broader Federal EA and provides a strategy that will enable SSA to support its future environment. The SSA IRM Strategic Plan provides an overview of the Agency's EA and the processes for managing change to that architecture to support the Agency's service delivery goals and strategies.

Pursuant to Federal statutory requirements and directives, SSA has implemented a Systems Security Plan that integrates security into all major information systems investments, defines a security architecture and integrates new security standards and technology into SSA's business processes to protect IT assets from both physical and cyber security threats. This security architecture is an integral part of the Agency's EA and is consistent with the Office of Management and Budget 's (OMB's) Federal Enterprise Architecture model.

SSA is playing an important role in the PMA E-Government initiative. The Agency was a partner in the Quicksilver task force which was formed with OMB and the President's Management Council to identify E-Government projects that can deliver significant performance and productivity gains across government. SSA is the managing partner for one of the projects in development, eVital, and a supporting partner for several others. In addition, SSA is expanding electronic service delivery by increasing opportunities for the public to conduct SSA business and to access information electronically in a private and secure environment. The Agency also has initiatives underway that support the other PMA areas of Improved Financial Management, Budget and Performance Integration, Strategic Management of Human Capital, and Competitive Sourcing.

What are the Major Challenges in IRM Strategic Planning?

SSA's IRM strategic planning is influenced by the following legislation and demographic trends.

- By the end of calendar year 2006 SSA is committed to fully integrate a new Medicare Prescription Drug process into its processing environment. This new legislation has a major impact on IT priorities and resources.
- By 2010 SSA's workloads will swell to unprecedented volumes. The most significant factor contributing to this change will be the aging of the baby-boom generation (those persons born in 1946 through 1964).
- Along with the workload increase, the incredible pace of technology change will have a profound impact on both the public's expectations and SSA's abilities to meet those expectations.
- SSA will lose a substantial number of experienced employees by 2010. Over 28,000 SSA employees will be eligible to retire and another 10,000 are expected to leave the Agency for other reasons. This retirement wave will result in a significant loss of institutional knowledge in all Agency components, including SSA's Office of Systems (OS). The OS workforce includes almost 3,200 technical employees who are skilled in a wide variety of computer-related areas. Personnel projections indicate that OS is in the

midst of a retirement wave—34 percent, or 1,087 employees, will reach average retirement age by 2009.

Considering these factors, SSA's IRM strategic planning is focused on the achievement of the following strategic results:

- The EA supports the fully integrated delivery of government services permitting business to be done using the means of service delivery that the public prefers. These include increased use of electronic service delivery, such as self-help over the Internet, which allows SSA to redirect resources to more labor-intensive workloads.
- The EA, IT Human Resources plan and options for the use of IT contractors are adequate to achieve the Agency's strategic goals and objectives. They provide the flexibility to support substantial workload growth as well as changes with major impacts on priorities and resources, in a timely and cost-effective manner. Examples of such changes are those associated with expansion of electronic government, new legislation and potential solvency initiatives.
- IT security and privacy safeguards are in place to keep pace with the movement to an electronic processing environment.
- Back-up and recovery and continuity of operations capabilities are in place to provide uninterrupted service as the Agency becomes increasingly dependent on automation to provide integrated service delivery.
- All phases of the Capital Planning and Investment Control Process continue to be reviewed and refined to ensure the best use of IT resources.
- Agency oversight of electronic government initiatives, including all aspects of governance—roles and responsibilities, and policies and procedures, continues to evolve to fully support this increasingly important service delivery channel.
- Plans, activities and procurements support transitioning from segregated channels (Internet, local phone systems, email and call centers) to an integrated service delivery offering that includes leveraging technology such as Voice over Internet Protocol (VoIP).

Conclusion

This IRM Strategic Plan will continue to evolve throughout 2006. One major challenge is the previously mentioned Medicare Prescription Drug provisions being implemented during the year. A perennial consideration is the timing and impacts of the congressional appropriations process. The IRM Strategic Plan is a framework but also a guiding tool to assist the Agency in making effective decisions regarding the delivery of technology for staff and citizen. We will continue to work throughout 2006 to ensure responsible stewardship of IT resources and alignment with the Agency's strategic goals and objectives and the President's Management Agenda.

Chapter 1: Introduction

The mission of the Social Security Administration is to *advance the economic security of the nation's people through compassionate and vigilant leadership in shaping and managing America's social security programs.*

It does this by administering the most successful domestic programs in the nation's history: the Old Age Survivors Insurance (OASI), Disability Insurance (DI), (commonly referred to as Social Security), and the Supplemental Security Income (SSI) programs. In FY 2006, an estimated 40.3 million beneficiaries will receive OASI benefits, and another 8.4 million persons will receive DI benefits. An estimated 6.9 million will receive SSI benefits. SSA also provides substantial support to the closely related Medicare and Medicaid programs and more limited, but critical, support to several other important Federal programs.

In support of these programs, SSA's mainframe data stores contain approximately 191 Terabytes of data and its open, client-server data stores maintain approximately 109 Terabytes. These data stores represent one of the largest sets of electronic records of any civilian Federal agency. In FY 2005 these data sets supported an average daily volume of nearly 48 million individual transactions, with a current peak transaction volume of more than 56 million. Between FY 2001 – FY 2004, the average daily individual transaction volume increased almost 4 million each year. In FY 2005, this average daily transaction volume has increased almost 6 million.

SSA integrates activities across all these programs through a single national service delivery structure. This service structure is supported by an Agency Enterprise Architecture (EA) that is based on the Agency strategic goals, the objectives supporting the goals, and performance indicators to measure success.

The SSA Information Resource Management (IRM) Plan documents this baseline information technology architecture and the process for managing change to that architecture. The IRM plan, like the plans before it, will remain a work in progress as SSA continuously adjusts the balance between the changing service delivery needs of our citizens with rapidly advancing technology and limited fiscal resources.

Regulatory basis

The IRM plan addresses the influence of the Clinger-Cohen Act on Information Technology (IT) planning and management requirements. It also addresses the requirements of managing Federal information resources as expressed in the Office of Management and Budget (OMB) Circular A-130, and the Paperwork Reduction Acts of 1980 and 1995.

Relationship to Other Strategic Planning Documents

President's Management Agenda

"Government likes to begin things— to declare grand new programs and causes. But good beginnings are not the measure of success. What matters in the end is completion. Performance. Results. Not just making promises, but making good on promises. In my Administration, that will be the standard from the farthest regional office of government to the highest office in the land."—George W. Bush

To improve management practices and performance across the Federal government the President issued an agenda of high priority initiatives which reflect the Administration's commitment to achieve immediate, concrete and measurable results. The President's Management Agenda includes 5 initiatives that are mutually reinforcing and reflect a coherent and coordinated plan. The initiatives are:

- Expanded E-Government;
- Strategic Management of Human Capital;
- Improved Financial Management;
- Budget and Performance Integration; and
- Competitive Sourcing.

SSA is aggressively acting on these initiatives in the context of SSA's mission. These activities are integral to the Agency Strategic Plan and are a major factor in this IRM Plan. The strategic objective to improve service through technology is a focal point for managing information resources activities.

SSA was a partner in a cross-agency taskforce which was formed with OMB and the President's Management Council to identify E-Government projects that can deliver significant performance and productivity gains across government. SSA plays a key supporting role in many of the twenty-four projects selected for initial development. SSA is the managing partner for one of these, eVital, an effort to establish common electronic processes for federal and state agencies to collect, process, analyze, verify and share death record information. The Presidential E-Government initiatives in which SSA is participating can be found in Chapter 4.

Additionally, as of February 2006, OMB has established six Lines of Business (LoB) of which SSA participates in five. SSA is considered to be a partner in the Information Systems Security LoB, and supports four others, Human Resources, Financial Management, Grants Management and Federal Health Architecture. These initiatives seek business-driven common solutions that span the Federal government.

SSA is expanding electronic service delivery in ways that improve current business processes. SSA is providing increasing opportunities for the public to conduct business with the Agency and to access information electronically in a private and secure environment. A discussion of SSA's electronic service delivery strategy can also be found in Chapter 4.

SSA remains committed to maintaining a highly skilled and motivated workforce through continued training, staff development and an effective work environment. Chapter 8 of this plan describes SSA's IT Human Resources Management strategy including a support services and outsourcing strategy that supports the corresponding items of the President's Management Agenda.

SSA has undertaken initiatives that support Improved Financial Management. These major initiatives include *Financial Accounting System Replacement* and *Access to Financial Institutions.*

The major initiative *Managerial Cost Accountability System (MCAS)* provides an essential means of accomplishing the President's Initiative regarding Budget and Performance Integration. A description of MCAS and the other major initiatives mentioned above can be found in chapter 5 of this plan.

Agency Strategic Plan (ASP)

SSA's Strategic Plan is the blueprint for responding to the short and long-term challenges the Agency faces. It is the driving force for the Annual Performance Plan, the IRM Strategic Plan and other lower-level plans. See the section following for more discussion concerning the planning framework.

The ASP articulates the Agency's mission, values, and four strategic goals that define in outcome terms how the Agency will carry out its mission. Supporting each goal are objectives that describe issues, means and strategies which are key to achieving each goal. The goals and their subordinate objectives are:

- **To deliver high quality, citizen-centered service;**
  - Make the right decision in the disability process as early as possible,
  - Increase employment for people with disabilities by expanding opportunities, and
  - Improve service through technology, focusing on accuracy, security and efficiency.
- **To protect the integrity of Social Security programs through superior stewardship;**
  - Detect and prevent fraudulent and improper payments and improve debt management,
  - Ensure the accuracy of earnings records so that eligible individuals can receive the proper benefits due them,
  - Strengthen the integrity of the SSN issuance process to help prevent misuse and fraud of the SSN and card, and
  - Manage Agency finances and assets to link resources effectively to performance outcomes.
- **To achieve sustainable solvency and ensure Social Security programs meet the needs of current and future generations;**

  - Through education and research efforts, support reforms to ensure sustainable solvency and more responsive Retirement and Disability programs.
- **To strategically manage and align staff to support the mission of the Agency**
  - Recruit, develop and retain a high-performing workforce.

Establishing an agency strategic plan, goals and objectives is prescribed by the Government Performance and Results Act. The ASP directly impacts information resource management planning decisions and activities.

Information Planning and Management Framework

The figure below illustrates how IT planning and management requirements are aligned at the strategic level.

SSA's Unified Planning System provides a comprehensive, cohesive approach to Agency planning. Under the planning system, SSA establishes linkages to ensure that resources needed to support planned activities are identified and ultimately reflected in the Agency budget and acquisition plan.

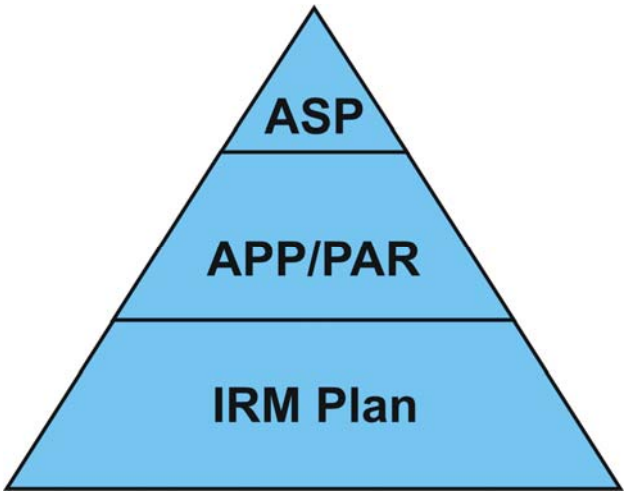


Figure 1: Alignment of Strategy/Planning Documents

At the pinnacle of the triangle, the ASP drives all lower level planning, including the objectives, priorities and constraints for SSA managers to adopt in constructing more detailed support plans. The Commissioner provides the direction for the ASP. In keeping with the requirements specified in the Government Performance and Results Act (GPRA), SSA's most recent strategic plan was published in February 2006. It is for Fiscal Years 2006–2011 and describes strategies for delivering results by integrating performance with a multi-year service delivery plan. Strategic goals and objectives, strategies and expected long-term outcomes associated with each strategic goal are integral to the plan.

SSA's *Annual Performance Plan* (APP) reiterates the Agency's goals and objectives expressed in the ASP and focuses on the performance targets and the means and strategies for achieving them. Performance targets or output/outcome measures are used to assess success in meeting a performance goal or initiative. The performance plan is integrated with the annual budget submission and provided to OMB and to Congress.

The *Performance and Accountability Report*, published shortly after the close of the fiscal year, shows how SSA has performed in administering its programs during the past year.

The *IRM Strategic Plan* describes how IRM activities help to accomplish the Agency's mission and realize SSA's strategic goals and objectives. It also supports the President's Management Agenda. The plan ensures that IRM decisions are integrated with organizational planning, budget, procurement, financial management, human resources management and program decisions. The IRM Strategic Plan is driven by the ASP, and the APP and is a key component in SSA's information technology capital planning and investment control (CPIC) process. That process is used for the ongoing identification, selection, control and evaluation of investments in information resources. The plan also presents an overview of SSA's Enterprise Architecture that describes and documents both the current and desired relationships among business and management processes and IT. The Chief Information Officer (CIO) is responsible for the IRM Strategic Plan, and collaborates with agency executives on behalf of the Commissioner and Deputy Commissioner of Social Security to provide the governance needed to implement the plan.

Governance

The governance of SSA's information resources involves all deputy level components, each with specific roles and responsibilities. Specific responsibilities of the CIO include:

- Ensuring that IT is acquired and managed in accordance with the IT Management Reform Act of 1996 (Clinger-Cohen); the E-Government Act of 2002, and OMB and Presidential directives;
- Setting agency-wide systems security policies;
- Coordinating and developing an E-Government strategy for electronic services;
- Guiding the agency in promoting investments that contributed to agency goals and objectives through the Information Technology Advisory Board (ITAB), and
- Serving as Vice-Chair of the E-Gov Council, where all deputy level components make executive decisions on the direction of electronic services.

E-Gov Council

The relationship of the E-Gov Council, and its executive members, to the governing process is shown in the following chart Figure 2: Web Governance.

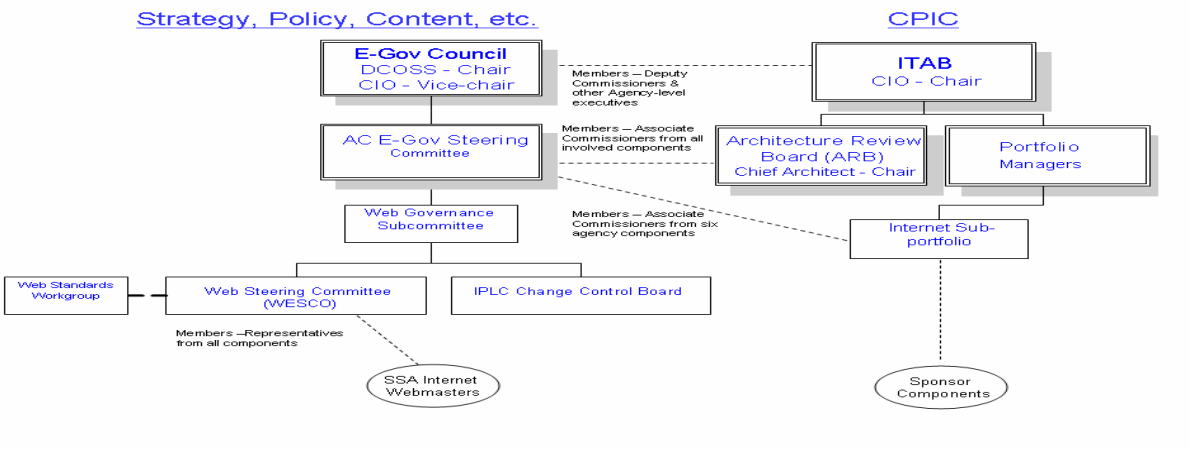


Figure 2: Web Governance

During Fiscal Year 2005, the E-Gov Council established the Web Governance Subcommittee (WGSC) to refine the web governance process, which in turn facilitated the update of roles and responsibilities of the deputy-level components and agency's policies and procedures. These can be found at http://eis.ba.ssa.gov/wwg/OfficialSSAWebGovernance.htm.

The E-Gov Council also established the Web Steering Committee (WESCO) to handle the day-to-day administration and enforcement of the policies, procedures, and standards. After being chartered, WESCO managed SSA's first annual certification process of SSA internet which required a review of the entire site to ensure that all materials are accurate and current. The WGSC also asked that SSA look at it usability practices and how it was eliciting customer feedback on its web products so an Internet Usability Workgroup and the Public Insight Process Workgroup were formed to fully address these issues, and are due to make recommendations in Fiscal Year 2006. These reports will be used along with the recommendations from other refinement studies, including the results from the National Academy of Science, to revise SSA's E-Government strategy (refer to Chapter 4).

The Internet Project Life Cycle Change Control Board continues to function in its role of refining processes and lifecycle methodology based upon experience with life cycle development and the need to modify to meet internal and external expectations. The AC Steering Committee continues to meet and makes decisions on a wide range of electronic service issues, and refers issues and recommendations to the E-Gov Council, as appropriate.

To closely monitor public usage of our electronic services, a new tracking report was developed, and the committee regularly reports progress on public usage to the E-Gov Council. To ensure that all executives understand SSA's progress in

implementing the E-Government Presidential initiatives, the OCIO makes a regular report to the E-Gov Council on attainment of quarterly milestones.

ITAB and the CPIC

The ITAB is the governing body for the CPIC, and carries out its function in the selection phase through a portfolio process. SSA's IT portfolio management process links Agency strategic planning, performance plan goals, strategic information resources management planning as well as IT project planning, budgeting, acquisition, management and assessment. SSA's integrated portfolio of IT project investments is designed to improve overall organizational performance. Portfolio investments are prioritized and directly linked to the President's Management Agenda as well as to the Agency's strategic goals, strategic objectives and performance targets. In addition, Infrastructure, Legislative, and Medicare portfolios have been established to encompass related IT investments that don't fall under the strategic objective portfolios. Portfolio teams develop prioritized IT project portfolios with supporting business cases and IT budget requests to achieve the strategic objectives in their areas of responsibility. IT business cases are developed and assessed based on OMB Circulars A-11 and A-130 guidance to ensure that the Agency is pursuing the right projects in a manner that increases the probability of success. The Agency's Information Technology Advisory Board, (ITAB) made up of senior executives and chaired by the Chief Information Officer (CIO), performs enterprise-wide IT planning and prioritization using established criteria (qualitative and quantitative factors including strategic alignment, mission effectiveness, organizational impact, risk, return on investment and the value of other benefits) to reach agreement on an integrated and prioritized enterprise-level investment portfolio.

On a quarterly basis, the Executive-level ITAB reviews the progress of the investment portfolio. Major investments are assessed at key decision points to ensure they are well founded, are achieved within the approved cost and schedule, and provide expected benefits such as those presented in the Cost-Benefit Analysis. They may be redirected or terminated when necessary. These activities are key to SSA's CPIC process.

Chapter 2: IRM Strategic Goals and Objectives

IRM Objectives

SSA's IRM Strategic Plan defines strategies for achieving a variety of objectives:

- Support the President's Management Agenda;
- Support the SSA's mission, goals and objectives;
- Deliver high quality, citizen-centered service;
- Secure data and IT resources;
- Operate and maintain IT infrastructure;
- Provide future IT infrastructure;
- Maintain and enhance existing applications;
- Build and/or acquire new applications;
- Provide operational support for IT customers;
- Support end-user development;
- Manage and nurture IT personnel; and
- Actively support inter-governmental information sharing.

Planning Assumptions

The following planning assumptions, some of which are beyond the direct control of SSA, are factors that influence IT plans.

- By the end of calendar year 2006 SSA is committed to fully integrate the new Medicare Prescription Drug subsidy eligibility process as required by Public Law 108-173, the Medicare Prescription Drug Improvement and Modernization Act of 2003 into its processing environment. This new legislation will have a major impact on IT priorities and resources.
- By 2010 SSA's workloads will swell to unprecedented volumes. The most significant factor contributing to this change will be the aging of the baby-boom generation (those born in 1946 through 1964).
- Along with the workload increase, the incredible pace of technology change will have a profound impact on both the public's expectations and SSA's abilities to meet those expectations.

- SSA will lose a substantial number of experienced employees by 2010. Over 28,000 SSA employees will be eligible to retire and another 10,000 are expected to leave the Agency for other reasons. This retirement wave will result in a significant loss of institutional knowledge.

Guiding Principles

The guiding principles for IT planning are:

- Improved citizen-centered service and overall operational efficiency and effectiveness drive all efforts for the development, modification and redesign of systems.
- IT initiatives undertaken are driven by SSA's Enterprise Architecture.
- Initiatives are designed to be implemented incrementally.
- SSA is refining its integrated architecture to more fully support all of its programmatic, administrative and management information systems.
- Sound business principles are applied to all IT proposals and investments.
- Ongoing employee training provides skills to enable the workforce to perform effectively using new technologies.
- Technology upgrades are balanced with human considerations.
- Capacity needs are satisfied through accurate forecasting and timely and orderly acquisitions related to planned objectives.
- SSA will continue to develop systems which ensure superior stewardship of SSA programs and resources.
- SSA will provide Information Systems Security for sensitive Agency data.
- SSA will conduct privacy impact assessments for all new IT investments and online information collection systems.

SSA Organizational Chart

The Social Security Administration (SSA) is headed by a Commissioner and has a staff of approximately 65,000 employees. The Agency's central office is located in Baltimore, Maryland.

The Office of the Commissioner (OC) provides executive leadership to SSA and exercises general supervision over its major components. It is directly responsible for all programs administered by SSA, and for State-administered programs directed by SSA.

The Office of the Chief Information Officer (OCIO) develops the Information Resources Management Strategic Plan and defines the Agency's Information Technology (IT) vision and strategy. The Office also insures that the investments SSA makes support the Agency's mission, strategic goals and objectives. The Office shapes the application of technology in support of the Agency's Strategic Plan, the

Information Technology Architecture that outlines the long term strategic architecture, IT plans for the Agency and IT Capital Planning.

The Agency achieves its core business goals through a joint partnership among SSA components. These components include: Systems; Communications; Disability and Income Security Programs; Finance, Assessment and Management; Human Resources; General Counsel; Legislation and Congressional Affairs; Operations; and Policy. The field organization, which is decentralized to provide services at the local level, includes a network of Regional Offices, field offices, hearing offices, teleservice centers, State Disability Determination Services and processing centers.

Social Security's organizational structure is designed to provide timely, accurate and responsive service to the American public. All components within SSA's Central Office provide critical support to the field office structure, including uniform policy development, procedures, information technology, administrative functions and much more. By integrating support services for all of the Agency's programs, we enhance efficiency, avoid duplication of effort and increase opportunities to provide one-stop service to the public.

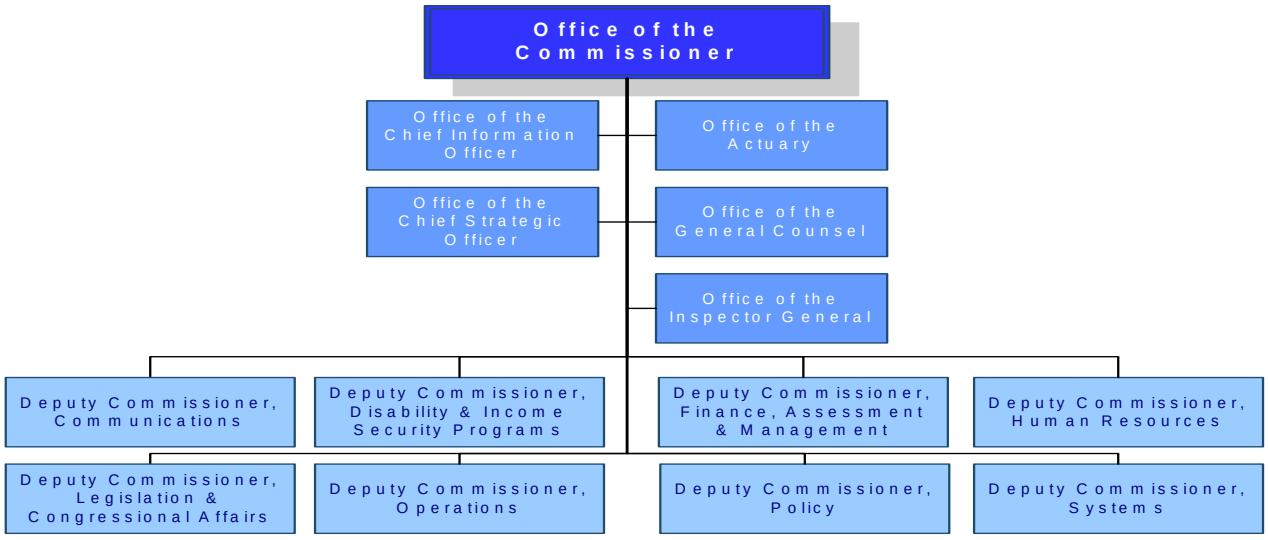


Figure 3: SSA's Organizational Chart

Chapter 3: SSA Enterprise Architecture

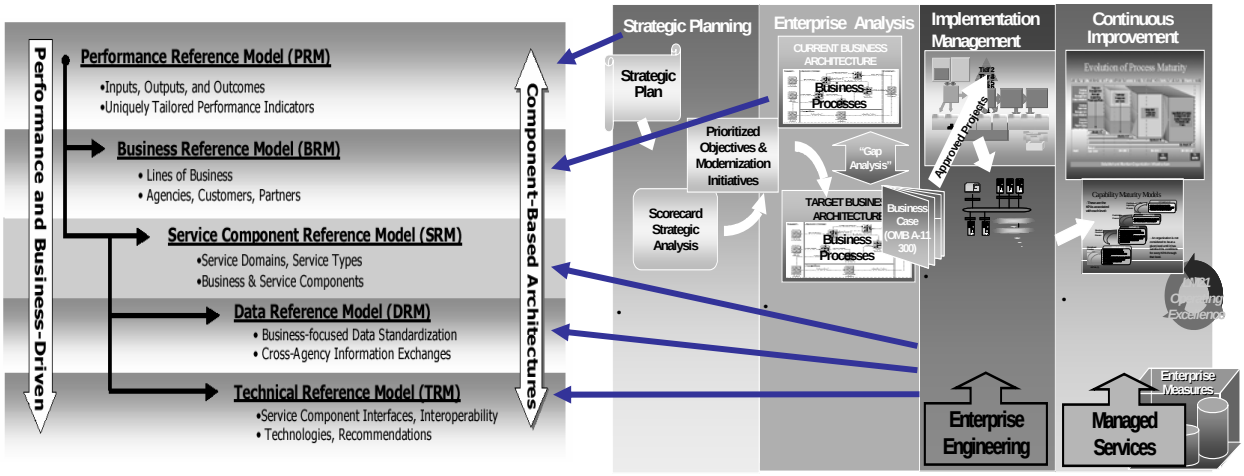
The Social Security Administration (SSA) EA establishes the framework to ensure that information technology (IT) investments align with SSA's strategic business plans. The EA framework remains a work-in-progress as the process and artifacts mature in conjunction with the Office of Management and Budget (OMB) Federal Enterprise Architecture (FEA). The initial version of the framework was refined to incorporate the lessons SSA learned by documenting the current IT infrastructure and the development of the target enterprise architecture. The framework continues to serve as a guidepost in SSA's current efforts to restructure the SSA system development life cycle and related information resource management procedures. As the EA Framework continues to be used in day-to-day operations, it will undoubtedly require some degree of further refinement. This description will be updated periodically to accurately reflect the architectural products that are being used to help manage SSA's information resource management assets.

SSA has used the Business Reference Model (BRM), Performance Reference Model (PRM), Service Component Reference Model (SRM), and Technical Reference Model (TRM), published by OMB, and created its own versions of these reference models. SSA will be developing its own version of the Data Reference Model when that XML schemata is available from OMB.

Enterprise Architecture Framework

Figure 4: SSA Approach Supports the Goals of the FEA, illustrates how the SSA approach supports the goals of the FEA via its relationship to FEA reference models. The reference models provide a function-driven framework for describing the business of the Federal Government and communicate the organization of architecture components. The objective for using the FEA is to improve business processes and manage investments. SSA's approach supports the goals of the FEA through planning strategically based on performance measures; analyzing SSA's enterprise; managing the implementation of software, hardware, and data; and, establishing enterprise architecture in order to continuously improve processes.

SSA is focused on value management, using business cases to attain and maintain strategic alignment. Measures of effectiveness are set up in the Annual Performance Plan (APP). SSA's modernization roadmap includes evaluating mission contribution and developing a prioritization; looking at Technology Infusion products; and staging architecture. Enterprise engineering is accomplished through projects associated with each portfolio that relate to software, hardware, and data components.



Models: A Common Vocabulary of "What"

- ❑ **Function Driven Framework for describing the business of the Federal Government**
- ❑ **Models and definitions for communicating the organization of architecture components**
- ❑ **Driver of:**
  - **Business process improvement**
  - **Investment management**
  - **Technical decisions**

Methodology: A Common Approach to "How"

- ❑ **Focus on Value Management**
  - **Strategic Alignment/ Business Case Based**
  - **Measures of Effectiveness**
- ❑ **Modernization Roadmap**
  - **Portfolio Rationalization**
  - **Mission Contribution & Prioritization**
  - **Technology Infusion**
  - **Architecture Staging**
- ❑ **Enterprise Engineering**
  - **TRM, SRM, and DRM Implementation**
  - **Reuse**

Figure 4: SSA Approach Supports the Goals of the FEA

Based on OMB Circular A-11, federal agencies are required to map major IT investments to the BRM, SRM, TRM, and PRM when preparing their IT budget submissions. In doing so, OMB can assess the health of the individual investments, the agency's overall capital planning and investment control process, investment and program performance, and how the agency's IT portfolio is aligned with federal programs evaluated using OMB's Program Assessment Rating Tool.

SSA currently uses the Metis Client Tool, a product of Troux Technologies, where EA artifacts are housed in a Metis-based framework. By utilizing the Metis Client Tools collection of software and the associated processes, SSA is able to organize its IT and business infrastructure, align its EA framework with government standards such as FEAF and FEA, identify gaps, redundancies and incompatibilities in the EA, provide support for OMB Exhibit 300 documents, deliver EA and business data for government-mandated maturity assessments, and reduce change impact by gaining a full understanding of the business and IT relationship.

Accomplishments to date with SSA's current implementation of Metis Client Tools are as follows:

- Imported existing infrastructure data from the EITA web site into the Metis model, providing additional functionality such as date range and sorting capabilities and improved model drill-down capability,
- Updated the model with FY06 APP information,
- Populated data exchange information,
- Mapped FY06 IT initiatives to VISOR projects,
- Mapped FY06 IT initiatives to the BRM, SRM and TRM, and
- Implemented Strategic Objective Portfolio (SOP) mapping to IT initiatives.

Figure 5: Metis Business Pyramid – FY 06, illustrates the complexity of EA throughout SSA. The Agency Strategic Plan (ASP) drives all lower level planning, including objectives, priorities, and constraints for Agency managers to adopt in constructing more detailed support plans. The ASP describes our mission, strategic goals and objectives, and provides expected long-term outcomes for each strategic goal.

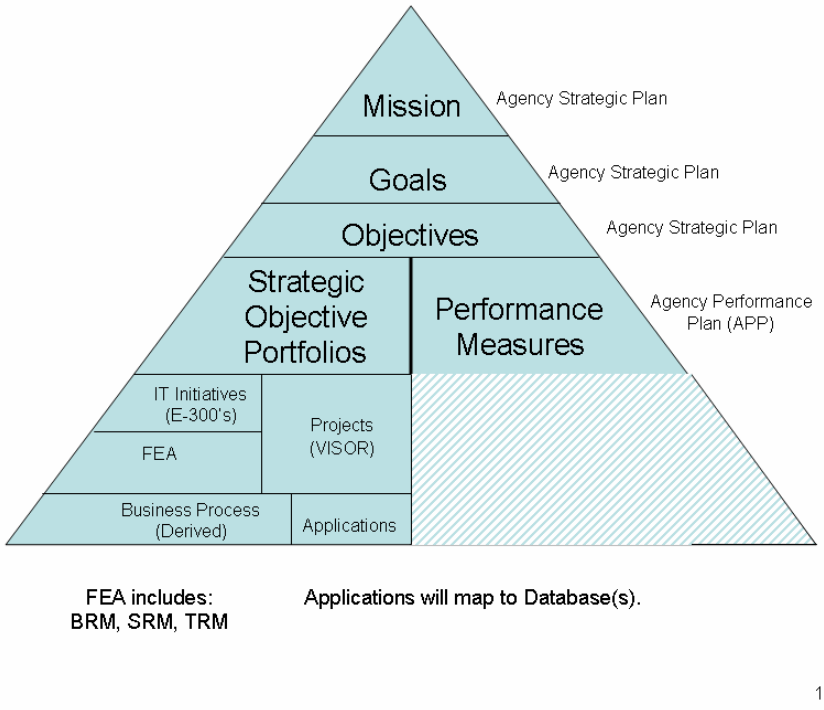


Figure 5: Metis Business Pyramid – FY 06

SSA's Mission Statement—*to advance the economic security of the nation's people through compassionate and vigilant leadership in shaping and managing America's social security programs*—as stated in the ASP, provides the foundation of SSA's response to the major challenges the Agency faces now and in the years ahead and for delivering results for the American people through four strategic goals.

- To deliver high-quality, citizen-centered service;
- To protect the integrity of Social Security programs through superior stewardship;
- To achieve sustainable solvency and ensure Social Security programs meet the needs of current and future generations; and
- To strategically manage and align staff to support the mission of the Agency.

SSA's four strategic goals link directly to SSA's total resource needs and provide employees direction in all major areas of their work. The nine supporting strategic objectives focus on key areas of strategic importance or those needing improvement:

- Make the right decision in the disability process as early as possible;
- Increase employment for people with disabilities by expanding opportunities;
- Improve service through technology, focusing on accuracy, security and efficiency;

- Detect and prevent fraudulent and improper payments and improve debt management;
- Ensure the accuracy of earnings records so that eligible individuals can receive the proper benefits due them;
- Strengthen the integrity of the SSN issuance process to help prevent misuse and fraud of the SSN card;
- Manage Agency finances and assets to link resources effectively to performance outcomes;
- Through education and research efforts, support reforms to ensure sustainable solvency and more responsive Retirement and Disability programs; and
- Recruit, develop and retain a high-performing workforce.

IT SOPs outlining Systems IT initiatives are reviewed and approved by the Information Technology Advisory Board (ITAB) in conjunction with adherence to the SSA EA prior to the beginning of the fiscal year. These IT SOPs become the blueprint and transition plan for the developmental and maintenance activity within the Office of Systems for any given fiscal year. This detailed transition plan establishes the target architecture for the end of that particular fiscal year .

The APP reflects the priorities in Social Security's Strategic Plan. The APP provides performance targets for ASP goals and objectives, and strategies for achieving these targets. Performance targets, or output/outcome measures, are used to assess success in meeting each performance goal or initiative. The performance plan is integrated with the annual budget submission and provided to OMB and Congress. Since the APP corresponds with the budget cycle submissions, it projects the measures for that current budget submission (e.g.; two years beyond the current fiscal year).

The Exhibit 300 process is the primary mechanism for integrating SSA's IT planning with the FEA. The Exhibit 300 process maps Agency goals and objectives to the corresponding performance measures. In developing their 300s, project managers certify that their projects align with SSA's PRM, BRM, SRM, and TRM. These are maintained by the EA staff and align directly with the Federal models. Each project is required to have performance metrics that align with the PRM. These metrics, in turn, measure how well the project is meeting the goals and objectives set forth in the ASP. While the ASP reflects a rolling five year horizon, the 300s are prepared with the budget cycle that is two years out from the current fiscal year. Therefore, the 300s provide SSA with a target EA that is two years into the future with a very high level transition plan based upon the content of those approved 300s.

The concept of using the Vital Signs and Observations Report (VISOR) is to provide top Deputy Commissioner for Systems (DCS) management with a "quick glance" picture of the general "health" of a project within several key areas for the DP projects. The key areas include Scope, Schedule, Resources and Risks. The multiple target versions of the EA are used to identify gaps between the current target and those targets a few years down the road. In addition, they identify the need for any shifts in current direction.

The Enterprise Architecture Lifecycle

The EA Lifecycle, as shown in Figure 6, illustrates how planning, business case execution, and continuous improvement are iterative within the lifecycle. An architecture modernization framework of standard solutions, enterprise visibility, portfolio analysis, and a strong governance infrastructure involving key stakeholders sets the framework for incrementally implementing business cases and identifying program performance measures. Through the efforts of business process engineering and cultural transformation, continuous improvement exists within the lifecycle.

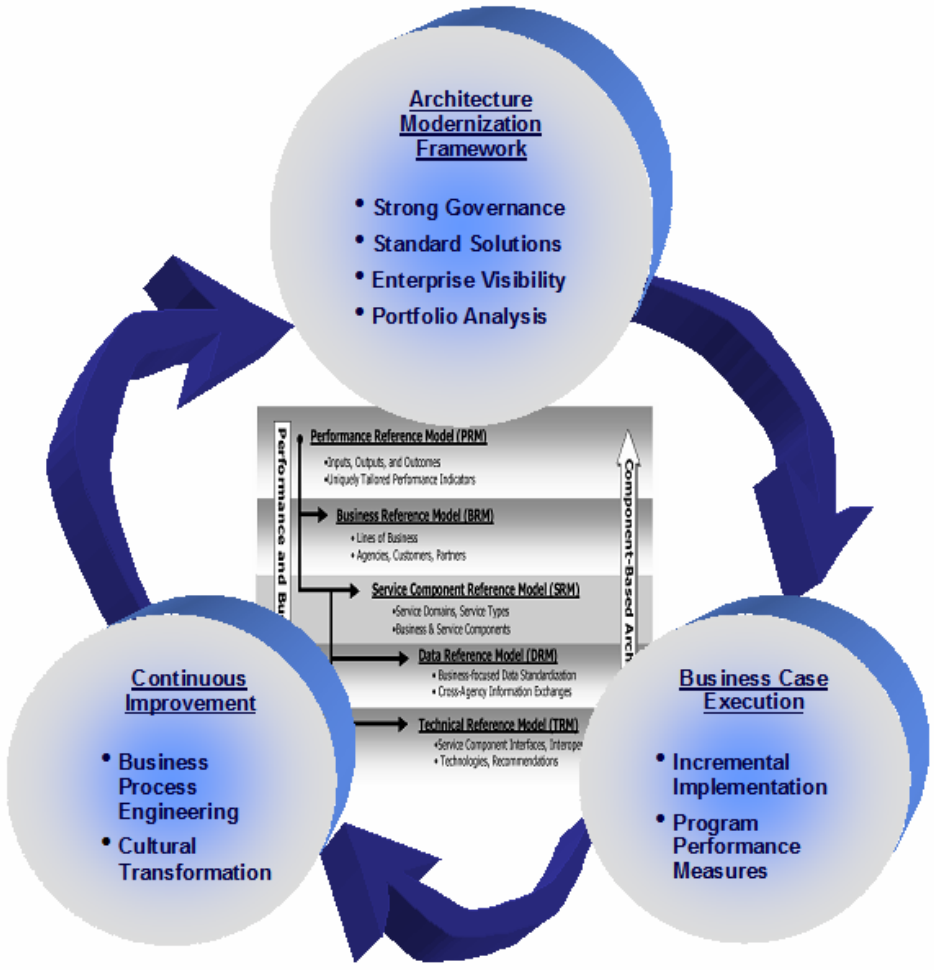


Figure 6: Enterprise Architecture Lifecycle

The Architecture Review Board (ARB) is the guiding and governance body that ensures the effectiveness of SSA's EA. In this role, the ARB:

- Reviews, approves, and provides guidance to SSA IT projects and plans to ensure their alignment with the EA;
- Reviews and approves additions, modifications and deletions to the SSA EA that consists of principles, policies, terminology and definitions, standards and practices;
- Ensures ongoing SSA EA alignment with the FEA reference models; and
- Defines, reviews, recommends and/or communicates proposed standards related to the EA to DCS and with the DCS concurrence, to the Chief Information Officer (CIO) for approval.

The ARB is empowered to perform its roles and responsibilities under the authority of the SSA CIO. The DCS annually nominates the ARB chairperson for confirmation by the CIO. The chairperson acts as the liaison between the Office of Systems and the Office of the CIO.

The ARB is comprised of representatives from ODCS, OCIO, ODCO, ODCHR, ODCFAM, and ODCDISP. Members represent infrastructure, application, and data architecture subject areas as well as other SSA (business/strategy) Deputy Commissioner components that sponsor, lead, or participate in IT projects.

The CIO has also chartered an Enterprise Architecture Governance Committee to manage the maintenance and configuration of the SSA EA framework. This body meets on a monthly basis and calls ad hoc meetings when required. Annual OMB changes to the FEA framework, periodic updates to components, and new releases of reference models are managed by this committee.

Strategic Objective Portfolios

The Information Technology Advisory Board (ITAB) is an executive body offering advice to the CIO on areas of Capital Planning and Investment Control (CPIC). This includes approving IT projects as well as expenditures for the approved IT budget. The Board is comprised of the CIO, Deputy Commissioner for SSA, all Deputy Commissioners for the business components and other executive staff.

As part of the CPIC environment, IT SOP outlining DCS IT initiatives are reviewed and approved by the ITAB prior to the beginning of the fiscal year. These IT SOPs become the blueprint and detailed transition plan for the developmental and maintenance activity within the Office of Systems for any given fiscal year.

On a quarterly basis, the ITAB reviews the progress of each IT SOP and the agreed upon capital investments. Major investments are assessed at key decision points to ensure they are well founded, are achieved within the approved cost and schedule, and provide expected benefits. They may be redirected or terminated when necessary. These activities are key to SSA's capital investment and control process.

SOPs are comprised of two documents:

- The Vision Statement document provides the Vision statement containing the strategic and tactical goals and outlines the projects that support each of the goals.
- The Portfolio Submissions document provides the ITAB approved projects, their Rational Summary of the CBA/ROI/BVS and intangible criteria used to support the need for the project, the sponsoring component and the approved DCS resources needed for that particular fiscal year.

For example, the following table includes the purpose of the "Make the Right DIB Decision SOP", the associated Agency strategic goal (as described in the *Agency Strategic Plan*), initiatives, BRM Line of Business, and performance measures.

Agency Strategic Goal	To deliver high-quality, citizen-centered service	
Purpose	The purpose of the "Make the Right DIB Decision" portfolio is to use automation at all adjudicative levels of the disability claim process to: ➢ Improve productivity and increase cost efficiency, Reduce claim processing time, Eliminate backlogs, Reduce reliance on the paper folder; ➢ Increase decisional and documentation accuracy, Increase decisional consistency,	Increase adjudicative accountability, Support "Increase employment for the disabled" by reducing barriers to work which may be inherent in the adjudicative process, Support process and policy changes with these same goals; ➢ Prepare for the Commissioner's Disability Process Changes; and ➢ Comply with OMB mandates for Consolidated Health Informatics (CHI) Federal Healthcare Architecture (FHA).
Initiative (E-300)	• Accelerated eDib (AeDib) • DDS Automation	• Digital Audio for ALJ Hearings • Infrastructure
Business Reference Model (BRM) Line of Business	Services for Citizens: ➢ Disaster Management ➢ Education ➢ Health ➢ Homeland Security ➢ Income Security ➢ International Affairs and Commerce ➢ Law Enforcement ➢ Litigation and Judicial Activities ➢ Workforce Management Mode of Delivery: ➢ Direct Services for Citizens ➢ Federal Financial Assistance	Management of Government Resources: ➢ Administrative Management ➢ Financial Management ➢ Human Resource Management ➢ Information and Technology Management ➢ Supply Chain Management Support Delivery of Services: ➢ Controls and Oversight ➢ General Government ➢ Internal Risk Management and Mitigation ➢ Legislative Relations ➢ Planning and Resource Allocation ➢ Public Affairs ➢ Regulatory Development ➢ Revenue Collection
Performance Measures	• Agency decisional accuracy rate (ADA) • Average processing time for initial disability claims • Average processing time for hearings • DDS net accuracy rate (allowances and denials combined)	• Maintain the number of SSA hearings pending (at or below the FY 2005/2006 goal) • Number of appellate actions processed • Number of initial disability claims processed by the Disability Determination Services (DDS) • Number of SSA hearings processed

	• Disability hearings accuracy rate • Maintain the number of initial disability claims pending in the DDS (at or below the FY 2005/2006 goal)	• Reduce the average number of days needed to process hearings appeals

Table 1: Make the Right DIB Decision

Transition to Internet Protocol Version 6 (IPv6)

Background

All Federal government agencies have been directed by the Office of Management and Budget to make their network backbones Internet Protocol Version 6-enabled (operational) by June 30, 2008. The Internet Protocol (IP) is the logical mechanism for sending data from one computer to another across the Internet. Most networks combine IP with the higher-level Transmission Control Protocol (TCP), which establishes a virtual connection between source and destination. The current standard for IP is version 4 (IPv4) which was developed in the 1970s. It has proven remarkably robust, and interoperable with a wide range of protocols and applications. However, the explosive growth of the Internet and Internet-based services has exposed deficiencies in IPv4. Perhaps the most urgent of these is the depletion of available IPv4 address space which has long been anticipated by the Internet Engineering Task Force (IETF). The IETF began developing a successor to IPv4 in the early 1990s. A proposed standard was first submitted in 1994, and the core set of IPv6 protocols became a standard in August, 1998 with the publication of RFC 2460 – Internet Protocol Version 6 (IPv6) Specification.

IPv6, with its 128-bit address space, was designed to support continued Internet growth, both in terms of the number of users and available functionality. It is expected to overcome other IPv4 limitations through features such as end-to-end IP Security (IPSec) support, mobile communications, Quality of Service (QoS), and other features that are designed to ease system and network management burdens.

The main advances from IPv4 to IPv6 are:

- Expanded addressing capability;
- Simplification and standardization of the packet header format;
- Auto-configuration mechanisms that allow for plug-and-play capability;
- Improved support for extensions and options;
- Security extensions for authentication and privacy; and
- Flow labeling capability.

Additionally, IPv6 includes transition and interoperability mechanisms that allow users to deploy IPv6 incrementally.

IPv6 at the Social Security Administration

SSA has evolved its network architecture, its business processes and its organizational structures in ways that positioned it well to integrate IPv6. SSA delivers services, conducts business operations, and executes data exchanges with its partners over a shared IT environment. The Agency's private network (SSANet) has been migrated to a flat (i.e., non-hierarchical), MPLS (i.e., Multi-Protocol Label Switching) architecture that supports direct point-to-point communications and effective Quality of Service (QoS) and Class of Service (CoS) traffic management. SSA's organizational components and lines of business do not operate in discrete silos but rather share centrally managed IT platforms, networks, and application support services.

While the Agency's current IPv4-based networks provide the Agency with many features and functionality that are built in to IPv6, it is recognized that IPv6 offers a number of key design improvements that may provide long-term strategic benefit to the Agency, including:

- Improved efficiency in routing and packet handling;
- Support for auto-configuration and plug-and-play capabilities;
- Support for embedded IP Security;
- Elimination of the need for Network Address Translation (NAT);
- Support for widely deployed routing protocols; and
- Network efficiency and bandwidth conservation.

SSA has long recognized that IPv6 was the emerging standard for IP. Through participation in the North American IPv6 Task Force (Nav6TF) and the MoonV6 project, SSA's network administrators and engineers determined that it would be best to incorporate IPv6 into SSANet as part of the Agency's ongoing technology refresh cycles. SSA also determined that IPv6 integration should be accomplished in defined phases, beginning with the network core and, through technology refreshment, extend to the ExtraNet, and then throughout the rest of the network infrastructure.

The transition to IPv6 will affect a broad spectrum of SSA's IT and network infrastructure, including network routers, switches and other network infrastructure components, but also network services such as Domain Name Servers, network security and information assurance devices (e.g., firewalls). It will affect operating systems, directory services administration, and many applications and related IT services. However, the introduction of IPv6 capability will not significantly change the basic architecture of SSA's existing network (SSANet). Integrating IPv6 functionality and capability while continuing to support the Agency's legacy IPv4 infrastructure (including IPv4-based applications) will be a significant challenge.

IPv6 Transition Plan

Deployment of IPv6 capable devices on the network will be undertaken not to provide for immediate, enterprise-wide use of IPv6, but rather to prepare the existing network infrastructures to support IPv6-capable nodes. Even if IPv6 is not being

used, dual protocol nodes will exist, allowing network managers and engineers to transition to IPv6 traffic when required.

SSA has evaluated several transition mechanisms and found that deployment of a dual-stack IPv4/IPv6 network architecture represented several distinct advantages that could not clearly be demonstrated by other transition mechanisms, including:

- no additional overhead to manage tunnels or translation boxes;
- ability to manage IPv6 and IPv4 traffic consistently;
- ability to protect against potential security vulnerabilities associated with other transition mechanisms (especially tunneling, and tunnel broker mechanisms); and
- ability to support customers, business partners, and other Government agencies utilizing either native IPv4 or native IPv6 according to their individual needs and requirements.

A dual IP stack IPv4/IPv6 network architecture presents some challenges but these challenges do not override the substantial advantages of the dual-stack network architecture.

SSA's IPv6 transition strategy will integrate IPv6 capability with the Agency's existing IPv4-based networks in a structured and staged manner. Utilizing SSA's established technology refresh plans, existing IPv4-based routers and switches (and thus the associated subnets) will be made dual-stack capable; i.e., able to support either IPv4 or IPv6 communications. Alternate transition mechanisms will not be deployed. SSA has no plans to establish a pure or "native" IPv6 network for the foreseeable future, but will establish and maintain a dual-stack IPv4/IPv6 capability throughout its network system.

Chapter 4: E-Government

"Effective implementation of E-Government is important in making Government more responsive and cost-effective." — George W. Bush

E-Government has changed the way that government operates and the way that citizens relate to government. Americans are taking advantage of E-Government services offered to them. A study conducted by Hart-Teeter in 2000 on behalf of the Council for Excellence in Government reported that half of all Americans and three quarters of American Internet users already have used a government website to find information or conduct a transaction.

SSA is aggressively acting on the initiative to expand electronic government, one of the elements outlined in the President's Management Agenda. The key goals of this element are to improve IT planning through the budget process and champion citizen-centered electronic government that will result in a major improvement in the value of the federal government to the citizens.

The Agency was a partner in the cross-agency taskforce which was formed with OMB and the President's Management Council to identify E-Government projects that can deliver significant performance and productivity gains across government. Twenty four projects were selected for initial development. Information on these initiatives is available at www.egov.gov. SSA is the managing partner for one of these, E-Vital, which is described in the IT Capital Plan Summary in Chapter 5. SSA is a supporting partner or participating in 18 of the other efforts as shown below in Table 2: Presidential E-Gov Initiatives. Each initiative supports one or more of SSA's strategic goals of service, stewardship or staff.

SSA is undertaking a comprehensive review of its current E-Government strategy. The intent is to devise a new strategy, clearly focused on using IT to provide services to the public that they want and will take advantage of. The next issuance of this document will contain SSA's new E-Government strategy. What follows is SSA's current strategy.

SSA has always looked for innovative ways to use technology to gain productivity and increased performance. The Agency uses IT creatively, responsibly and in a manner that demonstrates strong support of the Federal IT vision which is to achieve a dramatic improvement in the federal governments' value to the citizen; with decisions in minutes or hours, not weeks or months.

In support of providing high-quality, citizen-centered service, the Agency has created an easy-to-find single point of access to Social Security services for citizens on its website, www.socialsecurity.gov. In 1994, SSA was one of the first Federal Agencies to establish an Internet website. By 2003, SSA's website was attracting over 30 million visitors a year.

Presidential E-Gov Initiatives	Service	Stewardship	Staff
E-Authentication	X		
E-Travel	X		X
GovBenefits	X		
Integrated Acquisition	X	X	
USA Services	X		
Recruitment One-Stop	X		X
E-Rulemaking	X		
Expanding Electronic Tax Products for Business	X		
E-Training	X		X
E-Grants	X		
E-Clearance	X		X
E-Vital	X	X	
Enterprise HR Integration	X		X
Federal Asset Sales	X	X	
Consolidated Health Informatics	X	X	
E-Payroll	X		X
E-Records Management	X	X	
Disaster Management	X		
Business Gateway / eForms Portal	X		

Table 2: Presidential E-Gov Initiatives

SSA also offers a wide range of electronic services that can be accessed by using the Agency's National 800 Number Network's (N8NN) automated telephone processes. Since 2001, the automated services accessible through the N8NN have been expanded to adopt the telephone industry "best practice" of taking care of all of the caller's business during the initial contact. The focus has been on enhancements that improve agent productivity and expanded automated services.

The Agency's electronic service strategy involves aggressively pursuing a portfolio of services that enable online transactions. In using technology to provide services around citizen groups, the administration's E-Government strategy separates projects into four portfolios. SSA is using the same categorization:

- Individuals (Government to Citizen);
- Business (Government to Business);
- Intergovernmental (Government to Government); and

- Internal efficiency and effectiveness (IEE).

Government to Citizen

In moving to the Internet world, SSA's initial focus was to deliver high quality, citizen centered service by providing informational material online. Information continues to be a major strength of the website and the Internet has proven to be an effective vehicle for its timely and efficient dissemination. Accomplishments to date are as follows:

- **Social Security Online**, the official Social Security website, was redesigned in 2003, improving accessibility, usability and branding. The website attracts over 40 million visitors a year.
- **Frequently Asked Questions (FAQ)**, a cornerstone feature of the website, provides answers to over 23 million client inquiries each year.
- **E-Mail Inquiries** is a service provided to clients who have used the FAQ and not found the complete answer. In FY 2005, SSA responded to over 500,000 inquiries by e-mail, providing another direct service option in addition to the 800 Number and field office services.
- **Field Office Locator** is an application on socialsecurity.gov that provides instant client access to the location of every SSA field office by Zip Code. Street address, telephone numbers and directions (including a map) are provided through this service. Listings of local social service agencies also are made available.

SSA's E-Government strategy is based on the deployment of high volume, high payoff applications, for both the public and the Agency's business partners. To meet increasing public demands, SSA has aggressively pursued a portfolio of services that include online and voice-enabled telephone transactions to increase opportunities for the public to conduct SSA business electronically in a private and secure environment. Accomplishments in this area include:

- **Internet Social Security Benefit Application** (ISBA) and Disability reports enable the public to apply for Social Security retirement, spouse and disability benefits online. In FY 2005, more than 260,000 clients submitted applications for Social Security benefits online. The Adult Disability and Work History Report, the Childhood Disability Report and the Appeals Disability Report were added to expand the online disability claims process.
- **Services for Current Beneficiaries** include changing addresses and direct deposit information, replacing Medicare Cards, and issuing replacement 1099 forms and proof of income letters. These electronic services handled over 960,000 transactions in FY 2005.
- **Services for Website Visitors**, including the Benefits Planners, Online Social Security Statement Request and the Benefit Eligibility Screening Tool served over 4 million website visitors in 2005.

Government to Business

Current Government to Business strategies include automating wage reporting by employers to SSA and the controlled use of Social Security data to verify Social Security numbers presented to employers by new employees. These services are continually being improved and expanded to better serve the business community and to realize additional efficiencies in SSA operations. Accomplishments to date:

- **Electronic Wage Reporting** reduces the burden on businesses by allowing them to submit employee wage reports online. The service also includes the AccuWage tool for businesses that improves reporting accuracy and reduces the volume of error correction and necessary follow-up contacts. In tax year 2004, over 67 percent of all employee wage items (Forms W-2) were submitted electronically.
- **W-2 Online and W-2c Online** serves the needs of small businesses, providing online entry and printing of W-2 and W-2c online wage and tax statement forms for distribution to employees. The Internet-based system also sends the wage and tax information to SSA, saving both time and money.
- **SSN Verification Service** allows employers to verify Social Security number/name matches online. Matches of up to 10 name/number combinations can be performed immediately, while larger batches of combinations are verified and the results electronically delivered to employers the next business day. Automating this process reduces staff and administrative burdens for both SSA and employers and improves service timeliness to the business community. Since National implementation of this service in May 2005, over 16 million verification results have been processed electronically.

Government to Government

Government to Government strategies at SSA have traditionally focused on exchanges of data with over 4,000 entities for the purpose of ensuring that benefits programs across government are administered fairly and accurately. Information and data exchange between SSA and other government agencies results in programmatic and administrative benefits of over $2 billion each year.

Examples of successful data exchanges include:

- **"Secondary Payer" match** involves the Internal Revenue Service, SSA and the Centers for Medicare and Medicaid Services (CMS). The three agencies share data that allows CMS to identify Medicare beneficiaries who are eligible for private health insurance through the employer of a spouse and allows CMS to recover Medicare payments from the primary carrier. This is a "win-win" situation that provides better health insurance coverage for the beneficiary and lower cost to the government.

- **Veterans Benefit Administration match** checks to see if the Supplemental Security Income (SSI) beneficiary is receiving Veterans pension or compensation since SSI benefits must be reduced for other types of income. It discovers changes to the Veterans benefit and allows early adjustment to the SSI payment.
- **The SSA/Railroad Retirement Board (RRB) match** allows for automatic exchange of key information which is pertinent to the other program. This is critical to the efficient processing of claims in both agencies because SSA and RRB benefits must be computed using information from the other program.

Internal Efficiencies

Throughout the past several years, SSA has sought out and put into place administrative systems aimed at reducing costs while improving service to clients. In this context, agency clients are both the public with whom we transact business and employees with whom we provide administrative services.

Successfully implemented systems now allow employees to book official travel online, review and update payroll and benefits information and enroll in and complete professional development courses on the Internet. Administrative systems allow online ordering of forms and supplies, moving services, transportation, and building services.

The agency has a long history of using technology to improve the efficiency of its operation. This legacy continues with the implementation of paperless processing centers, the eDib system, Digital Library, PolicyNet, and the use of QuickPlace to foster "virtual team" collaborations.

As SSA continues to automate services for citizens, private and public sector partners, and improve internal efficiencies and effectiveness, it will do so in light of its own vision statement, which is: Within the next five years we will provide cost-effective E-Government services to citizens, business and other government agencies that will give them the ability to easily and securely transact most of their business with SSA electronically.

Five goals with supporting objectives have been established in support of this vision. They are closely aligned with three of the Agency's four strategic goals – Service, Stewardship and Staff:

Agency Goal	E-Government Goal and Objectives
Service	**1. Offer to citizens the E-Government services that they want and need.** 1.1. Thoroughly understand the wants and needs of citizens. Involve the public in the online development process. 1.2. Better identify SSA interactions that are appropriate for self-service. 1.3. Continue to evolve the Agency understanding of citizen web behavior, trends and patterns.
Stewardship	**2. Ensure stewardship by protecting online security and privacy and the**

	integrity of the SSA benefit payment process. 2.1. Develop an integrated policy framework on privacy, security and disclosure. 2.2. Implement policy and IT infrastructure safeguards to prevent fraud and abuse. **3. Pursue E-Government partnerships and collaborations with other government agencies and private sector organizations.** 3.1. Leverage Resources With Other Agencies To Solve Common Problems. 3.2. Establish New Government to Business partnerships with our consultants and with interest groups. 3.3. Achieve a more active role in cross-agency E-Government activities. **4. Implement E-Government programs that offer sound business case justification.** 4.1. Manage and measure the cost-effectiveness of a portfolio (E-Government portfolio management) of E-Government products and services as opposed to an isolated focus on single online products and services. 4.2. Bring clarity and consistency to all financial analysis tools including cost benefit analyses, return on investment, etc. 4.3. Consider the entire business process; build services that provide seamless processing from intake through completion, wherever possible.
Staff	**5. Align the organization and invest in human capital to maximize E-Government progress.** 5.1. Structure programs and policy to fit the electronic world better while continuing to maintain the integrity of the programs. 5.2. Work toward an organizational structure, roles and responsibilities that are most efficient in enabling optimal agency progress, including E-Government. 5.3. Invest in human capital management by having staff with necessary skills to drive E-Government effectively into the future. 5.4. Develop E-Government penetration strategies for the field organization.

SSA's strategy to pursue these E-Government goals and objectives is based on the expansion of electronic service delivery in ways that improve current business processes by increasing opportunities for the public to conduct SSA business, and to access information in a private and secure environment.

Many projects are underway which significantly support the E-Government goals. Some of them, particularly Electronic Disability and E-Vital, are summarized in the major initiatives section of Chapter 5. Other innovations include:

- Signature Proxy, allows claimants filing an Internet Social Security Benefit application to "click and sign" their online applications. Claimants filing online no longer have to print, sign and mail in their application. *This is the first step to providing single point of contact service to clients who choose to apply for benefits through the Internet.*

- 800 Number Speech Recognition technologies allow automation of current transcription workloads by using voice recognition. To date, several high volume workloads, including the Request for SSN Card, the Request for Social Security Statement, requests for pamphlets, the replacement Medicare card, the proof of income letter workloads, and the new SSA-1020 form Application for Help with Medicare Prescription Drug Plan Costs have been speech-enabled at considerable savings to the Agency. The change-of-address and direct deposit workloads were speech-enabled in FY 2005.
- Speak freely will speech-enable the entire N8NN platform, allowing English-speaking callers to simply speak their needs in response to directed questions rather than use the telephone keypad (e.g., a simple "yes/no" response). Citizens will no longer have to navigate to the desired service through a menu of options. Approximately 55 percent of the population now has access to the speech-enabled platform. The remainder of the population will be able to use speech in FY 2006.
- Screen Pop will allow an 800 number caller to enter his or her SSN and pass the information to the Customer Help and Information Program (CHIP). Currently, when callers reach the 800 number, a recording requests that they have their SSN ready. The Telephone Service Representative (TSR) asks the caller for the SSN, if needed. Next, the TSR requests queries of the CHIP application and asks questions to authenticate the caller. With Screen Pop, callers to SSA's National 800 Number, who ask to speak with an agent, will be prompted to provide their SSN via their touch-tone phone. The SSN entered will be passed to the SSA mainframe for data retrieval. The citizen's information will then be forwarded to the TSR's desktop as the TSR receives the call.
- Screen Splash will allow callers to receive faster account-related service by entering their personal information, such as their name and date of birth, using speech telephony before speaking with an 800 number agent. Today, callers using the N8NN are asked six questions by 800 Number agents to verify their identity. Screen Splash will use speech technology to ask callers to enter their SSN and to speak the six data elements to verify their identity. The 800 Number agent will receive a pop-up screen reflecting which information was verified or not verified against SSA records. Screen Splash will be implemented in FY 2006.
- Scheduled Voice Callback technology will enable a caller, waiting in the 800 number queue to speak with an agent, to leave their phone number and select a convenient, non-peak time when SSA will call them back. This will improve telephone wait times and assist SSA in moving telephone traffic from peak to non-peak hours.
- WebSphere Conversion and Modular eAuthentication are two projects that take advantage of new technology to vastly improve existing Internet-based client services. Converting existing online services to a JAVA-based WebSphere environment allows improved efficiency and reduced development and maintenance costs. Because WebSphere takes a modular

approach to Internet application development, it will allow the Agency to approach eAuthentication using varying levels of plug-in software modules depending on the risk associated with each application.

Automation Support Strategy

The Deputy Commissioner of Systems has developed a Strategic Vision to ensure that SSA can continue to provide the services needed to serve the American public. DCS' mission is to provide enduring automation support for SSA. DCS' work is driven by the needs of SSA's operational workloads and the programmatic, administrative and workflow processes that are use to perform those tasks. During a series of strategic planning sessions, DCS executives developed a series of goals which complement SSA's existing goals, and outlined technical and business-related opportunities for investments that would yield significant benefit to SSA. These goals and opportunities focus on cross-project efficiencies and improving overall systems responsiveness and capabilities.

The goals are to:

- improve SSA's ability to deliver unassisted service;
- enter new lines of business in areas where we have unique qualifications;
- make the programmatic process paperless;
- maintain an appropriate production environment;
- improve DCS productivity; and
- improve the productivity of the users of DCS products.

The DCS strategic vision is a proactive approach to ensure that SSA remains fully capable of serving our customers well into the future.

Chapter 5: IT Performance/Investments

Performance

By the very nature of its mission, SSA has a strong customer focus, and is dedicated to product and service quality. The table below provides a sample of SSA's major workloads, the volume actually processed in FY 2005, and the volume expected to be processed in FY 2006 and FY 2007, based on projections made for the President's budget for each respective year.

MAJOR WORKLOAD	FY 2005	FY 2006	FY 2007
RSDI Claims	6,392,509	6,298,900	6,785,000
RSDI Postentitlement	82,449,000	76,318,000	87,544,000
SSI Claims	2,518,519	2,261,500	2,299,100
SSI Posteligibility	21,961,446	17,882,000	21,482,000
OHA Hearings*	519,359	615,000	577,000
Social Security Statements	143,640,021	140,000,000	142,000,000
Annual Earnings Items	257,448,825	264,000,000	265,000,000

*** SSA-only hearings**

Table 3: Major SSA Workloads

Underlying the ability to process these large workloads is SSA's capacity to produce high-quality application software with the functionality promised, on-time and within the resources estimated. The Systems Process Improvement (SPI) project is a major initiative underway that includes establishing a method of measuring those qualities as well as productivity. To do this, yearly productivity baselines using function point analysis are being established against which planned projects can be measured. (Function point analysis is a qualitative methodology for measuring the size and complexity of a project in terms of its functionality and estimating its development costs in terms of time and effort.) With the metrics in place, SSA will have an additional tool to ensure that it has a high performing, productive and efficient systems organization.

Agency Priorities

SSA's priorities are defined by the Agency's four strategic goals, which are shaped by the President's Management Agenda and the Agency Strategic Plan:

- To deliver high quality, citizen-centered service;
- To protect the integrity of Social Security programs through superior stewardship;
- To achieve sustainable solvency and ensure Social Security programs meet the needs of current and future generations; and
- To strategically manage and align staff to support the mission of the Agency.

These goals are presented in the Agency Strategic Plan, along with supporting objectives that add specificity and define what the goals mean for SSA. Target levels of performance have been or are being established for each objective, and the systems to measure success are planned or are already in place. These measures are reflected in the Annual Performance Plan which can be found on SSA's internet site, at www.ssa.gov/performance.

While the target levels of performance are at the tactical level, they link very closely with SSA's longer term IT capital investments. The following have been extracted from the FY 2006 Performance Plan and illustrate this concept:

- In support of the service goal, an outcome measure has been established to support the strategic objective of Improving Service through Technology. That measure calls for increased usage of the electronic entitlement and supporting actions. This tactical measure is consistent with SSA's E-Government strategy discussed in Chapter 4.
- An objective supporting SSA's stewardship goal is to increase the accuracy of earnings records. Projections of the number of annual earnings items to be processed have been established, as well as targets for measuring how accurately they were processed. SSA is reengineering the business procedures and front-end systems used to process annual wage reports submitted electronically and on magnetic media to improve the efficiency, accuracy and effectiveness of processing and maintaining earnings information.
- The goal to strategically manage and align staff to support SSA's mission contains a supporting objective to minimize skill and knowledge gaps in mission-critical positions. SSA is using its investment in interactive video teletraining to reach its target with this objective.

In February 2005, SSA provided Congress with the Agency's FY 2006, Revised Final FY 2005 Annual Performance Plan, which outlined the measures used to meet the strategic goals shown above. SSA's Annual Performance and Accountability Report is published shortly after the close of the fiscal year. The Performance and Accountability Report, reflecting the performance of FY 2005, was published in November 2005.

IT Capital Plan Summary

Critical to this planning structure of goal setting, performance measurement and reporting are the linkages to ensure that the resources needed to support planned activities are identified and reflected in the budget. The Agency will continue to

make well-planned changes in pursuit of performance objective achievement; changes that are found to be operationally effective and economically sound before resources are committed to their implementation. The SSA Tracking Report is a planning tool for monitoring performance objectives. This system provides information SSA needs to assess progress at key decision points and determine whether initiatives should proceed as planned or be redirected.

SSA has instituted an IT Portfolio management process that encourages the customer community to take an active role in deciding current and future systems workloads that are in support of the Agency's strategic objectives. That process is described on page 11.

The following section contains high-level descriptions of SSA's major IT initiatives found in the Capital Plan and milestone charts extending to FY 2011. As a result of implementation, the initiatives will serve to enhance Agency productivity, program integrity, customer service, and other desirable Agency attributes. The table on the next page shows the relationship between the Agency's goals and objectives and the supporting major investment initiatives.

For ease of reference, the Agency goals and subordinate objectives are listed and the objectives are numbered as shown below. In the chart, the objective numbers appear in line with the major investment initiative that contributes to its support, under the appropriate goal.

- **To deliver high quality, citizen-centered service;**
  1. Make the right decision in the disability process as early as possible,
  2. Increase employment for people with disabilities by expanding opportunities, and
  3. Improve service through technology, focusing on accuracy, security and efficiency.
- **To protect the integrity of Social Security programs through superior stewardship;**
  4. Detect and prevent fraudulent and improper payments and improve debt management
  5. Ensure the accuracy of earnings records so that eligible individuals can receive the proper benefits due them,
  6. Strengthen the integrity of the SSN issuance process to help prevent misuse and fraud of the SSN and card,
  7. Manage Agency finances and assets to link resources effectively to performance outcomes.
- **To achieve sustainable solvency and ensure Social Security programs meet the needs of current and future generations; and**
  8. Through education and research efforts, support reforms to ensure sustainable solvency and more responsive Retirement and Disability programs.
- **To strategically manage and align staff to support the mission of the Agency.**
  9. Recruit, develop and retain a high-performing workforce.

Agency Goal / Investment Initiative	Sustainable Solvency	Citizen-Centered Service	Superior Stewardship	Manage and Align Staff
Infrastructure	8	1,2,3	4,5,6,7	9
Telephone Systems Replacement		3	7	
eDib		1,3		9
Electronic Wage Reporting System		3	4,5,6	
DDS Automation		1,3	4,7	
Financial Accounting System Replacement		3	4,7	
Digital Audio for the Recording of ALJ Hearings		1,3	7	
Access to Financial Institutions		3	4,7	
Title II System Redesign		3	4	
Paperless Processing Centers		3	4	9
SUMS/MCAS		3	7	9
eVital (Electronic Death Registration)		3	4	
Employees with Disabilities				9
Interactive Video Teletraining		3		9
Disability Service Improvements		1,2,3	4,7	
Medicare Modernization Act		3		
IT Operations Assurance		3	4,5,6,7	

Table 4: Major Investment Initiatives

Earned Value Management (EVM)

EVM is a project management control tool that provides visibility into how an IT project is doing in terms of technical performance, cost and schedule. OMB Memo 05-23 laid out specific actions and due dates requiring use of EVM on IT projects across government that all agencies must comply with. SSA's existing project management processes, although they were already very comprehensive, had to be enhanced to meet the new OMB requirements. SSA's IT project managers are now using EVM to manage all of the Agency's OMB 300 projects.

EVM provides project budget and schedule data that has uses beyond managing the project. The CIO's office is working to fully integrate EVM into SSA's Capital Planning and Investment Control (CPIC) processes. The IT budget process is adapting to use this data and to become a more comprehensive, portfolio-based investment management process.

Major Investment Initiatives

Infrastructure

Infrastructure is presented as a comprehensive initiative, consisting of 4 distinct areas of activity, also known as work packages: Infrastructure, Telecommunications, Office Automation, and Projects/Initiatives.

Maintenance for SSA's IT infrastructure hardware and software is funded in this item as are support services, technology refreshment and enhancement. These automation investments are essential to process claims for beneficiaries in an effective, efficient, economical and secure manner. Mainframe computing investments include mainframe computer hardware and software, system monitoring and management tools as well as related support services. Storage investments address direct access storage, automated tape library systems, storage area networks and capacity management. Investments for Web services include the Agency's data exchange architecture, enterprise servers, client/server software, Web hardware and software, Internet applications and ongoing Website enhancements. Enterprise security investments provide ongoing support and enhancement for the Agency's IT security infrastructure.

Investments in telecommunications address telephone service (including SSA's National 800 Number Network), SSA's wide area network and video teleconferencing systems. Monthly recurring charges for the services, connectivity and bandwidth that support SSA's data, voice and video communications are included in this initiative, as is funding for technology refreshment, maintenance, new installations, service enhancements and contractor support that are required for ongoing mission performance.

In accordance with industry best practices, SSA has established a technology refreshment cycle for its office automation infrastructure to ensure that it remains technologically current and supportive of state-of-the-art information processing techniques. Investments in this area address the desktop/laptop computer and local area network infrastructure (including support for employees with disabilities), the electronic messaging infrastructure and related engineering, systems operations, user assistance and product support services. Funding is also included for SSA's software change management and distribution solution that support the Agency's end-user community nationwide. The maintenance of SSA's office automation infrastructure is critical for the delivery of services to the public.

The Infrastructure areas of activity, or work packages, support all of the Agency's strategic goals, as well as the PMA goals, with an emphasis on *Expanded Electronic Government*.

Telephone Systems Replacement

The purpose of this initiative is to replace all telephone systems throughout the Agency with the exception of Baltimore headquarters and the Washington, DC Commissioner offices. Field office legacy telephone systems, which are no longer supported by the manufacturer, will be updated with new technology. Telephone

systems will also be replaced at large sites including the program service centers, the Wilkes-Barre data operations center, the Office of Hearings and Appeals headquarters and the regional offices.

Currently, an Enterprise Voice over Internet Protocol (VoIP) solution is being piloted using two vendors. A competitive acquisition is expected to be awarded in FY 2006 for a national implementation.

The TSR initiative primarily supports the Agency strategic goals "To deliver high-quality, citizen-centered service" and "To ensure superior stewardship of Social Security programs and resources." This initiative also supports PMA goals with an emphasis on "Expanded Electronic Government."

The TSR initiative puts the telephone applications in SSA's 1300 field offices on the same network as business applications, creating a more uniform architecture for expanded electronic government service and initiatives.

Electronic Disability (eDib) System

eDib consists of a series of interdependent projects designed to move all partners in disability claims adjudication/review to an electronic business process through the use of an electronic disability folder. It will eliminate disability claims processing delays and inefficiencies inherent in the current process that is based on paper folders. eDib will (1) enhance the automated system used to collect information during the disability interview to support all types of disability claims; (2) permit more types of claimants to complete disability reports via the Internet; (3) create a repository to store electronically the documents, evidence and records upon which the disability determination is based; (4) provide a case processing and management system for SSA's Office of Hearings and Appeals and (5) accelerate the modernization of State Disability Determination Services IT systems so that they can interface with the electronic folder.

The eDib initiative supports the Agency strategic goal "To deliver high-quality, citizen-centered service" and the associated strategic objective to "Make the right decision in the disability process as early as possible." This project also supports the PMA goal of "Expanded Electronic Government." eDib supports the Agency's GPEA obligation to provide for the electronic maintenance, submission or disclosure of information as a substitute for paper and for the use and acceptance of electronic signatures, when practicable.

Electronic Wage Reporting System

Under the Internal Revenue Service Restructuring and Reform Act of 1998, Congress set new electronic filing goals including the long-range goal that at least 80 percent of all Federal tax and information returns must be processed in electronic form by 2007. The Internal Revenue Service has interpreted this legislation to include forms W-2/W-3, which are filed with SSA. The Electronic Wage Reporting System (EWRS) is the key SSA initiative to meet this electronic filing goal.

The EWRS enables SSA to more effectively and efficiently process wage reports submitted on various media through a variety of methods. It provides expanded

services to customers by providing an acknowledgement of receipt, filing status information, complete and timely information on processing results, testing capabilities and additional customer support. The EWRS supports SSA's earnings improvement effort that includes increasing the use of electronic filing by employers, providing online filing status and error information and allowing employers to verify the accuracy of employees' names and Social Security Numbers online.

Employers using SSA's electronic services submit wage reports that contain fewer errors than those who file using magnetic media and paper submissions. Employers' use of these applications results in improved accuracy of employer wage reports and a resulting decline in the growth of the Earnings Suspense file. This also results in administrative savings by reducing the number of notices and telephone calls to correct errors and in improved public service with more accurate earnings statements and benefit payments.

In addition to supporting the Strategic goals shown in Table 4, it also supports the PMA goal of "Expanded Electronic Government."

Disability Determination Service (DDS) Automation

The Social Security Act mandates that a DDS in each State perform determinations of disability for residents of that State who file for disability benefits. The DDSs, although agencies of State governments, are entirely Federally funded and perform services subject to regulatory authority of SSA. Maintaining and enhancing the technical viability of the DDS systems is paramount in order for the DDSs to effectively address increasing workloads. DDS automation investments are necessary for hardware and software maintenance and enhancements, integration services and other support services required to maintain the viability of these systems.

One of SSA's highest priorities is to improve service to the public in the disability programs from the initial claim through the final administrative appeal. Enhancements in DDS automation are necessary to ensure that adequate automation is in place to support the implementation of the Electronic Disability System and the movement of all partners in disability claims adjudication/review to an electronic business process through the use of an electronic disability folder.

SSA's investment in DDS Automation directly supports the Agency's strategic goals and objectives as shown in Table 4. This initiative also supports the PMA goal of *Expanded Electronic Government*.

Financial Accounting System Replacement

This initiative replaced SSA's outdated accounting system with state-of-the-art Oracle Federal Financials commercial off-the-shelf software that is Joint Financial Management Improvement Program compliant. The replacement system, Social Security Online Accounting and Reporting System (SSOARS), provides a comprehensive financial accounting system that includes accounts payable, accounts receivable, purchasing and general ledger functions and reporting. Overall, SSOARS provides better control of Agency funds and provides data consistency across the Agency.

The initial release of the new system became SSA's system of record on October 1, 2003. Baseline and associated software licenses were procured in sufficient quantities to provide full financial system access and usage by an estimated SSA Headquarters population of 250 operations and functional staff with limited query access for up to 2,500 field office personnel. Additional releases will incorporate functionality to replace the Financial Information System that is used by components to track spending against allocated fund balances for daily operations and implement system interfaces to the Third Party Payment System and Credit Card System. System interfaces to SSA's Streamlined Acquisition System and Travel Manager System have already been established.

This initiative will improve financial performance by reducing both operational delays and data and operational redundancy. It will position the Agency to take advantage of advances in electronic commerce. In addition, implementing financial management systems that are compliant with government regulations facilitates future integration with other Federal agency systems. The Agency's Intranet will be the delivery mechanism for a variety of accounting system reports.

In addition to supporting the strategic goal shown in Table 4, it also supports the PMA goal of "Improved Financial Performance" by having financial systems provide accurate and timely information to support operating, budget and policy decisions.

Digital Audio for the Recording of ALJ Hearings

This initiative will transition the Office of Hearings and Appeals (OHA) from obsolete analog equipment used to record hearings to a digital recording system producing compact discs (CD) that can be stored with the case folder. The current analog recording equipment is becoming increasingly unreliable and analog tapes have storage and control problems that result in the inability to locate 4,000 tapes annually. When hearings tapes cannot be located, cases are remanded for a new hearing. The use of digital recording technology will facilitate hearings records management, decrease the number of remanded cases and reduce costs. It will also position the Agency to support electronic access to hearings testimony stored within a shared repository.

As of February 2006, SSA will have completed installation in 143 hearing offices, installing over 1200 units. This represents 99 percent of all installations. Full implementation will be completed by April 2006. The project is meeting the needs of its users by providing high-quality digital audio recordings captured on a user-friendly PC-based system, and the project continues to support eDib program objectives, as digital recordings remain a requirement for a fully electronic disability claims folder.

In addition to supporting the Strategic goals shown in Table 4, it also supports PMA goals with a particular emphasis on "Expanded Electronic Government."

Access to Financial Institutions

The project involves electronic access of the records of financial institutions to obtain timely financial information for Supplemental Security Income (SSI) benefit applicants/recipients. To be eligible for SSI benefits, applicants/recipients must meet

specific income and resource criteria. To determine the initial and continuing entitlement to benefits, SSA is required to verify both the income and assets of these applicants/recipients, including those held in financial institutions.

SSA is continuing its Proof of Concept (POC) using authority granted by Section 213 of the Foster Care Independence Act of 1999. This POC is to develop a cost effective process to make the current financial account verification process a more efficient and effective electronic process. The Agency anticipates that having timely access to this information will result in savings by reducing overpayments and avoiding benefit payments to ineligible applicants/recipients. The Government Accountability Office's (GAO) decision to remove the SSI program from its high-risk list was based, in part, on SSA's development of an electronic account verification process.

In addition to supporting the Agency strategic goal "To ensure superior stewardship of Social Security programs and resources," this project also supports the President's Management Agenda strategic goals of "Expanded Electronic Government" and "Improved Financial Performance". It also supports the GPEA obligation to provide the option of electronic maintenance, submission or disclosure of information, when practicable, as a substitute for paper.

Title II System Redesign

The objective of the Title II Redesign (T2R) is to provide a single system for processing virtually all Title II initial claims and client-related post entitlement actions in an online interactive mode. This initiative is part of SSA's strategy to increase the level of automation, enhance system security and privacy protections, provide client self-help capabilities, integrate with local support systems, support paperless processing and improve software efficiency and maintainability. This project is primarily the result of in-house programming effort.

The net effect of T2R is a greater capability to process work at the customer's first point of contact with the Agency, online user access to more comprehensive customer information and an automated system that is easier and less costly to maintain and modify. SSA has steadily increased the automation rate for Title II post entitlement actions and will continue to streamline automation of post entitlement processing. More efficient systems processing will reduce internal hand-offs of work and result in fewer calls from beneficiaries. Increasing automation will eliminate labor-intensive manual processes and free-up resources that can then be diverted to front-line customer service functions.

In addition to supporting the Agency goals shown in Table 4, it also supports the PMA goals of "Expanded Electronic Government" as well as "Improved Financial Performance" by increasing data integrity.

Paperless Processing Centers

This initiative provides an electronic document capture and workflow management system for SSA processing centers. It enables SSA to capture information received on paper through electronic imaging and electronically route documents to make the information available for case processing on demand. It also provides electronic document control capability to better manage processing center workloads and

improve accuracy and timeliness. In addition, by eliminating the handling of paper, SSA increases the security and protects the privacy of information sent in by the public.

The Paperless Processing Centers (PPC) project has been implemented at all intended sites (six Program Service Centers, the Office of Disability (ODO) and the Office of International Operations (OIO)). The majority of all actions handled in these processing centers are now worked electronically.

In addition to supporting the Agency strategic goals shown in Table 4, PPC directly supports strategic goals of the President's Management Agenda. It supports the "Strategic Management of Human Capital" goal by providing a modern workstation environment for operational personnel processing SSA and SSI claims actions. It supports the "Expanding Electronic Government" goal by using scanned images of paper documents to move information through an electronic workflow process. It supports the "Improved Financial Performance" goal by giving management greater control and flexibility to concentrate on the most important pending workloads. Also, through the elimination of paper in the claims process and the ancillary need for document storage, shipment and retrieval, this initiative contributes to more cost-effective operations.

SUMS/MCAS

SUMS/MCAS will use data warehousing technology and the Intranet to improve the quality, consistency and access to information used by managers and analysts throughout SSA to manage work and account for resources. SUMS focuses on the detailed data needed by managers and employees to track, monitor and forecast critical Agency workloads while MCAS focuses on critical performance and financial information needed by managers and employees throughout the Agency.

SUMS/MCAS will provide access to information needed to meet changing business requirements, support process reviews and comply with government standards for cost accountability. The intent is to capture, count and measure all work consistently, regardless of where the work is performed. SSA is required by law to account for administrative expenses by type of work in order to charge the proper trust fund or general funds. SSA uses management information as the tool to quantify Agency workload categories and expenses.

SUMS/MCAS consists of interrelated initiatives that address Workload Counts and Performance Measures (produce consistent workload counts, processing time and other performance measures from the same data source); Time Allocation (replace current labor-intensive work sampling processes with more automated processes that will provide the information needed to calculate workpower); Customer Service Records (provide interviewers with access to customer information from existing data sources in a concise and easily understood format while capturing more complete data on customer interactions) and Managerial Accountability (replace the current fragmented management, cost and accountability systems with a unified, expanded and improved system that will eliminate manual processing). The Agency's Intranet will be the delivery mechanism for a variety of SUMS/MCAS reports.

SUMS/MCAS will provide managers with user-friendly access to expanded management information that supports their need for analysis, monitoring customer service, resource allocation and strategic decision making. Development and implementation of SUMS/MCAS will make a significant contribution to the attainment of Agency strategic goals as shown in Table 4. This initiative also supports PMA goals with a particular focus on "Improved Financial Performance" and "Budget and Performance Integration."

eVital

The eVital (Electronic Death Registration (EDR)) initiative is a Presidential eGov Initiative designated by the President's eGov Task Force in support of the PMA goal of "Expanded Electronic Government." This initiative supports the State's automation of the death registration process by permitting electronic document delivery for signature and registration. EDR will reduce the improper payment of benefits to deceased people by significantly reducing the time required for SSA to receive and verify death reports.

EDR will improve the accuracy of the Death Master File that SSA is required by law to share with other Federal benefit paying agencies. It will also facilitate automated cross matching of birth and death records that will deter the fraudulent use of the Social Security Number to establish identity.

This project supports the Agency strategic goals and objectives as shown in Table 4.

Employees With Disabilities

The Agency currently has and will continue to maintain a high degree of workforce diversity, including providing support for employees with disabilities. This project will maintain technically current assistive IT devices and workstations for the Agency's Employees with Disabilities (EWD) and provide new devices and workstations for the additional EWD that the Agency plans to hire, along with related training. This investment is necessary for SSA to meet the legal requirements of the Rehabilitation Act of 1973.

This project allows the Agency to maintain, refresh and increase its base of specialized hardware including desktops and a variety of assistive devices, software and miscellaneous compliant peripheral equipment. Examples of assistive devices include telecommunication devices for the deaf, wireless telephone headsets, listening devices, specialized keyboards and pointing devices. Funding is also required for research and development activity for EWD compliance, contractor support and training.

Over the last five fiscal years, over 1,500 employees with type I and type II disabilities have been hired. It is anticipated that the Agency will continue to be committed to this initiative and will hire employees who need assistive devices to perform the essential functions of their positions.

The Agency's EWD initiative supports the mission area strategic goal "To strategically manage and align staff to support SSA's mission" and the associated strategic objective to "Recruit, develop and retain a high-performing workforce." In

addition, this project supports the PMA goal for "Strategic Management of Human Capital."

Interactive Video Teletraining (IVT)

IVT provides the Agency with the tools and resources to develop and enhance employee skills through an interactive, distance-learning tool that brings the traditional classroom to distance learning classes using video, audio and data. IVT allows SSA to deliver timely, consistent and job-specific training to its employees located in remote sites throughout the 48 contiguous states, Hawaii, Puerto Rico and the US Virgin Islands.

The IVT network was installed in phases starting in 1998 and key components of the network infrastructure will reach the end of their systems life on a continuing basis. This requires SSA to invest in equipment replacement and IVT network infrastructure upgrades on a continuing basis. Network upgrade activities include upgrading hardware, software, satellite bandwidth, studio equipment, IVT classroom equipment, satellite uplink equipment and downlink equipment at each IVT location. Funding is required each fiscal year for equipment maintenance, service support contracts and satellite usage. The Agency is currently investigating the hardware, software and services necessary to bring IVT training to the desktop.

The Agency plans to convert the analog IVT network to Digital Video Broadcasting (DVB) technology beginning in FY 2007. The IVT network will be converted to DVB in three phases. Phase I requires installation of the infrastructure for transporting content over the network. Phase II consists of converting all studios from analog to digital. Phase III will convert the IVT classrooms' equipment in approximately 1,626 field offices to digital.

Providing nationwide employee training supports SSA's strategic goal "To strategically manage and align staff to support SSA's mission" and the associated strategic objective to "Recruit, develop and retain a high-performing workforce." IVT also supports the Agency's strategic goal "To deliver high-quality, citizen-centered service" by providing employees with consistent training in skills and programs. IVT supports the PMA goal for "Strategic Management of Human Capital."

Disability Service Improvements

Disability case processing time continues to be a major issue impacting customer service. While eliminating backlogs is essential to improving processing times, it is recognized that improving workload management and the process itself are also required to achieve the goal of providing timely and accurate service.

On July 26, 2005, Jo Anne B. Barnhart, Commissioner of Social Security, announced publication of a notice of proposed rule making (NPRM) in the Federal Register which sets out her plan to improve the disability determination process. This NPRM was developed after an extensive outreach program the Commissioner launched to let interested parties know what she was considering and to listen to their reaction.

The Disability Service Improvement (DSI) initiative will (1) create a quick decision for people who are obviously disabled, (2) reinforce accountability at all steps in the process, (3) reduce overall disability claims processing time by approximately 25 percent, (4) improve consistency and accuracy of decisions, and (5) remove barriers faced by those who can and wish to return to work.

The DSI initiative supports the Agency strategic goals and objectives as shown in Table 4.

Medicare Modernization Act

The investment in the Modernized Medicare Information System project was initiated in response to Public Law 108-173, the Medicare Prescription Drug Improvement and Modernization Act of 2003 (the Act). The legislation amended Title XVIII of the Social Security Act to provide for a voluntary program for prescription drug coverage under the Medicare Program and, as such, will have a major impact on the Social Security Administration's (SSA) Information Technology (IT) priorities and resources.

According to the legislation, effective in 2006, with an early enrollment period in July 2005, all individuals with Medicare will be eligible to enroll in plans to cover prescription drug costs. To meet this dramatic increase in workload, SSA must greatly improve productivity to successfully manage and support the business processes of all the components involved in implementing the legislation. New electronic processes are being developed to support various provisions of the law. Data exchange interfaces with Federal agencies are being developed or expanded to obtain applicant income and resource information. Many existing applications are being modified to collect and process the new data. SSA's financial accounting systems require modification.

SSA recognizes the imperative to move forward in providing citizen-centered electronic governmental services and this investment will provide the improved productivity considered essential for program success. Investment in the new IT system will enable SSA to achieve operational efficiencies and enable employees to process prescription drug subsidy applications as accurately and quickly as possible.

SSA's investment in the Prescription Drug Benefit and Part B Income Related Monthly Adjustment Amount system will involve the development of an infrastructure to support the new business processes and processes impacted by the legislation. Existing hardware capacity is being upgraded to handle the increased workload and ensure that current service levels are not degraded. Workstations for new employees are being purchased and installed. New software applications will be written and existing applications are being modified to accommodate electronic processing of subsidy determinations, exchange data with other federal agencies, collect premiums and apply Part B premium income related monthly adjustment amounts as appropriate. The new investment also includes an electronic records management capability to manage Medicare-related records.

This project supports SSA's strategic goal "To deliver high-quality, citizen-centered service" by providing the public a convenient subsidy application process and several

methods by which to apply, assistance in applying for a subsidy determination, and fast and accurate subsidy decisions.

IT Operations Assurance

This initiative provides for the protection of the critical assets of the SSA National Computer Center. The requirement to protect critical Federal infrastructure assets, including hardware, software, telecommunications, building and physical plant, as well as personnel is required under Homeland Security Presidential Declaration 7, Critical Infrastructure Identification, Prioritization and Protection, dated December 17, 2003.

A phased approach is being followed toward the ultimate objective of establishing a second, fully functional, co-processing data center. Each SSA data center will process a portion of SSA's data processing workloads and will backup the data assets of the other center. The centers will be designed so that in the event of a disaster the critical workloads of one will be assumed by the other.

The IT Operations Assurance initiative primarily supports the Agency's strategic goals "To deliver high-quality, citizen-centered service" and "To ensure superior stewardship of Social Security programs and resources." This initiative also supports PMA goals with an emphasis on "Expanded Electronic Government."

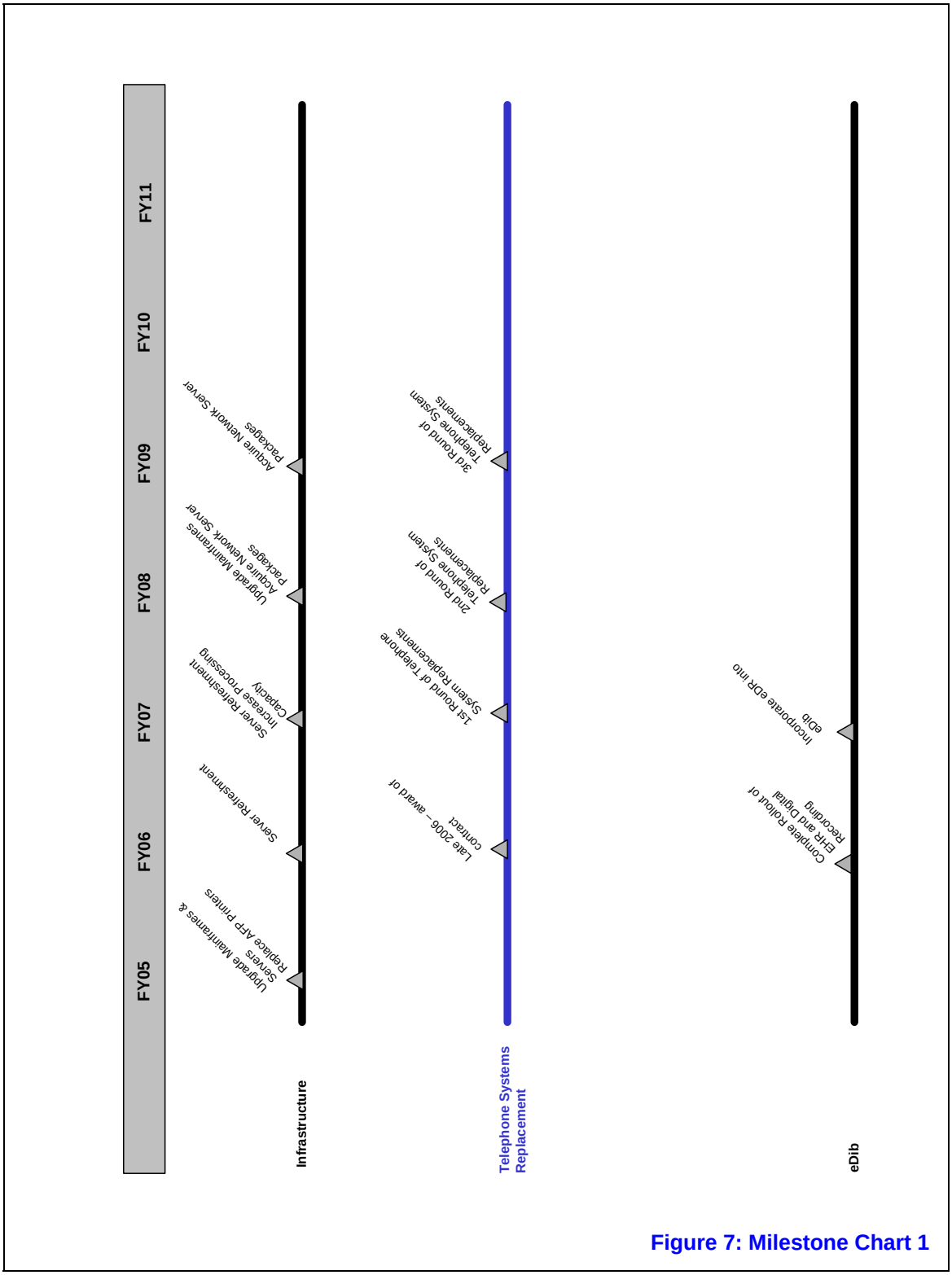


Figure 7: Milestone Chart 1

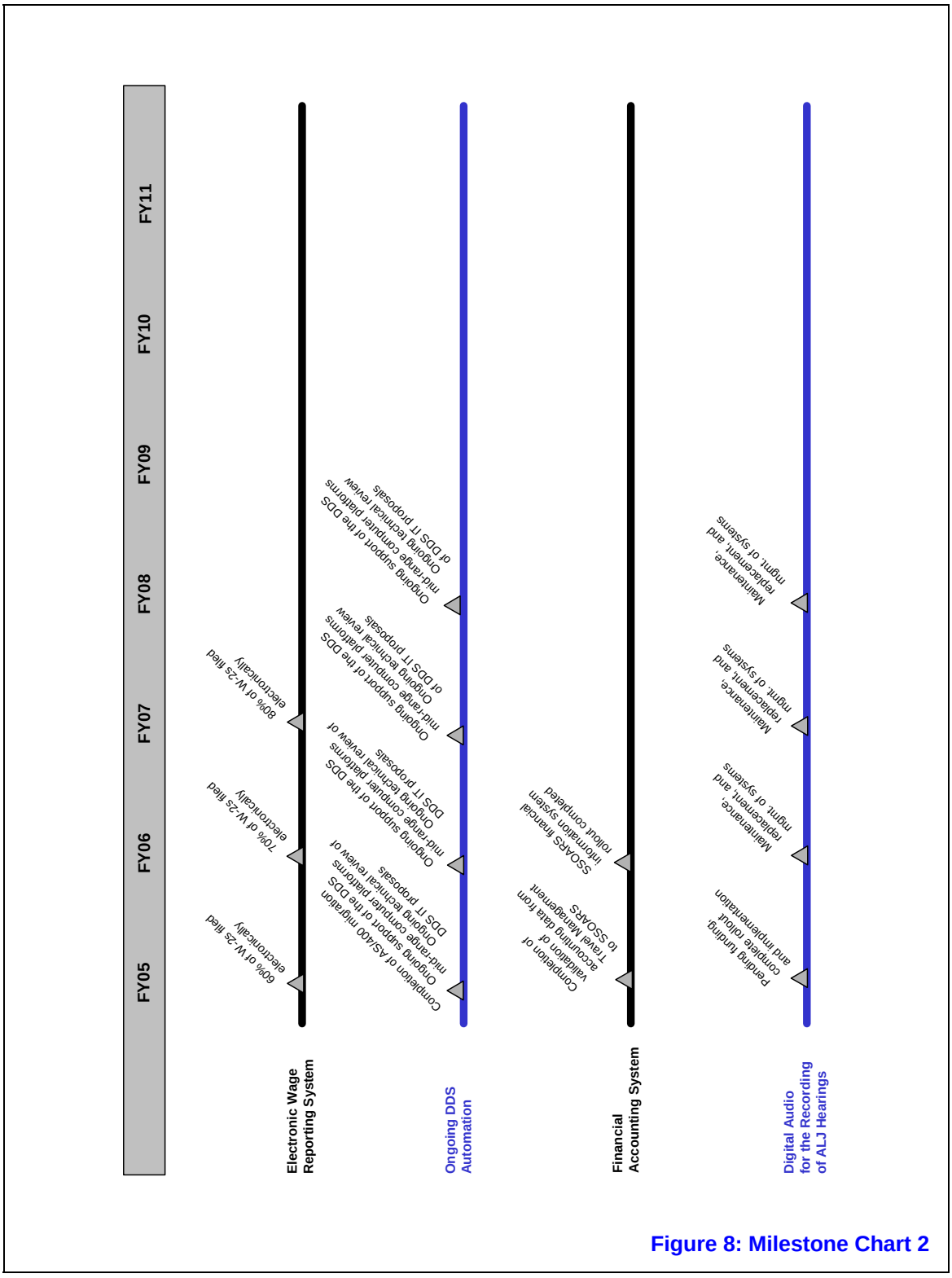


Figure 8: Milestone Chart 2

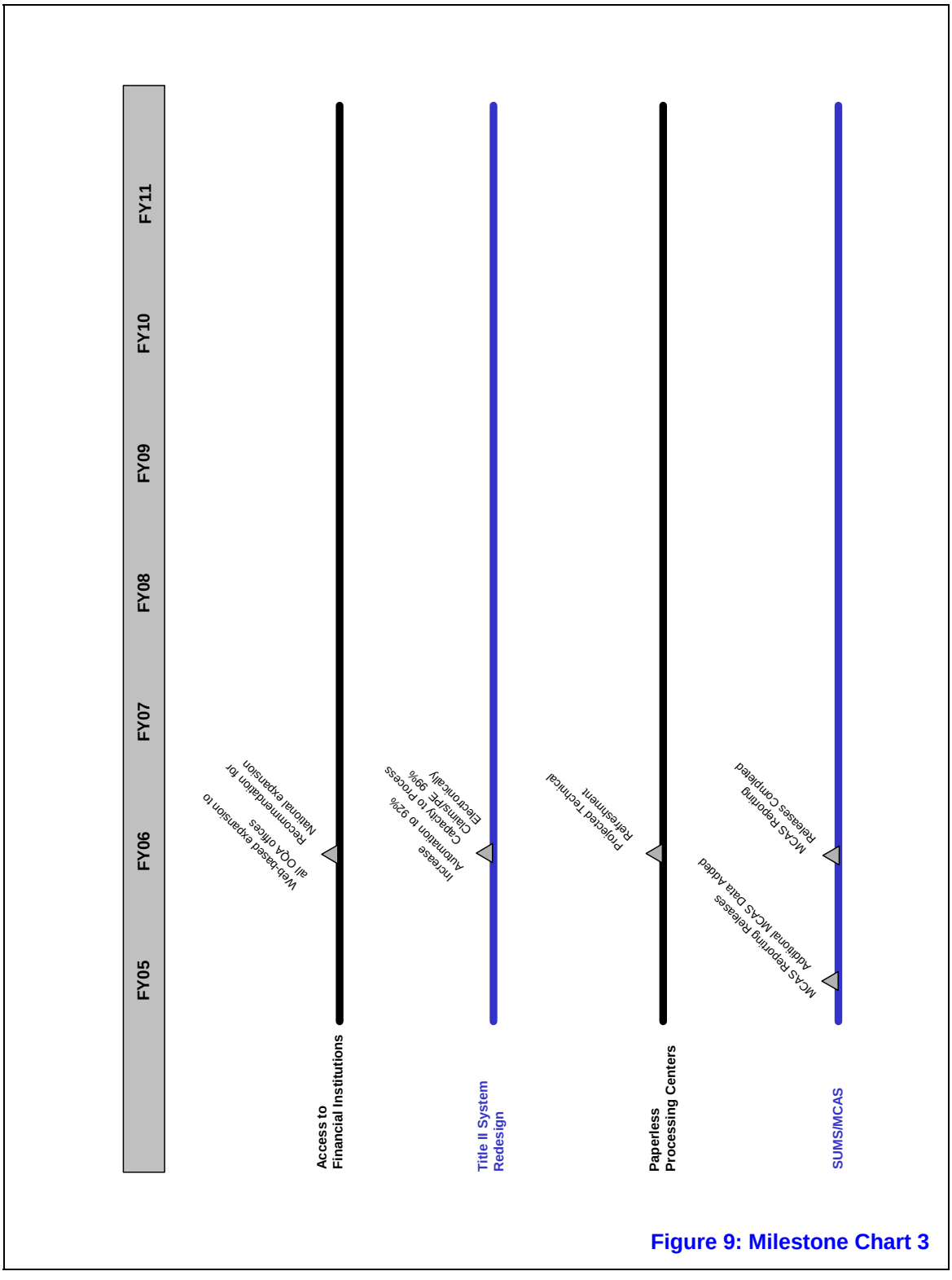


Figure 9: Milestone Chart 3

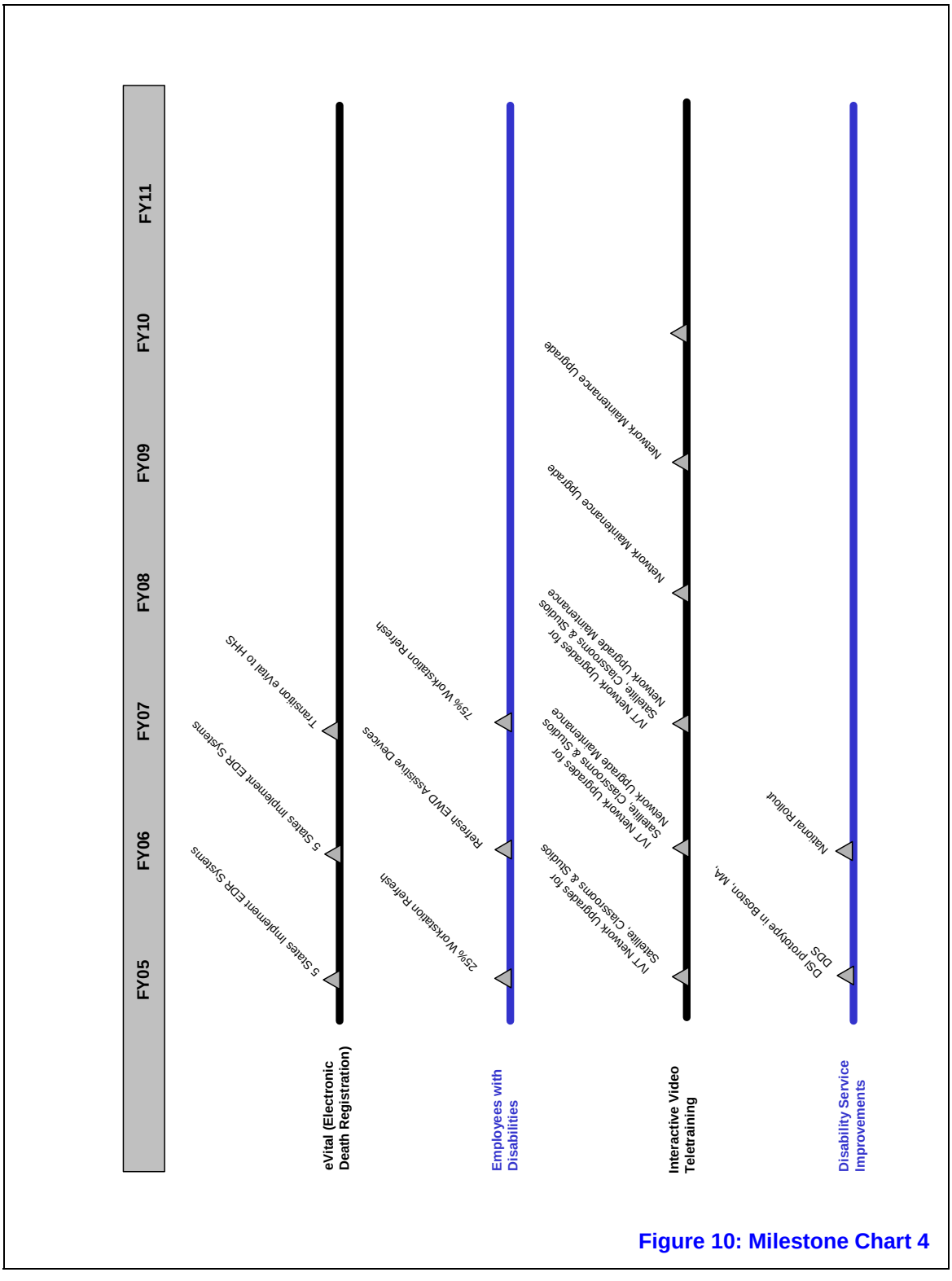


Figure 10: Milestone Chart 4

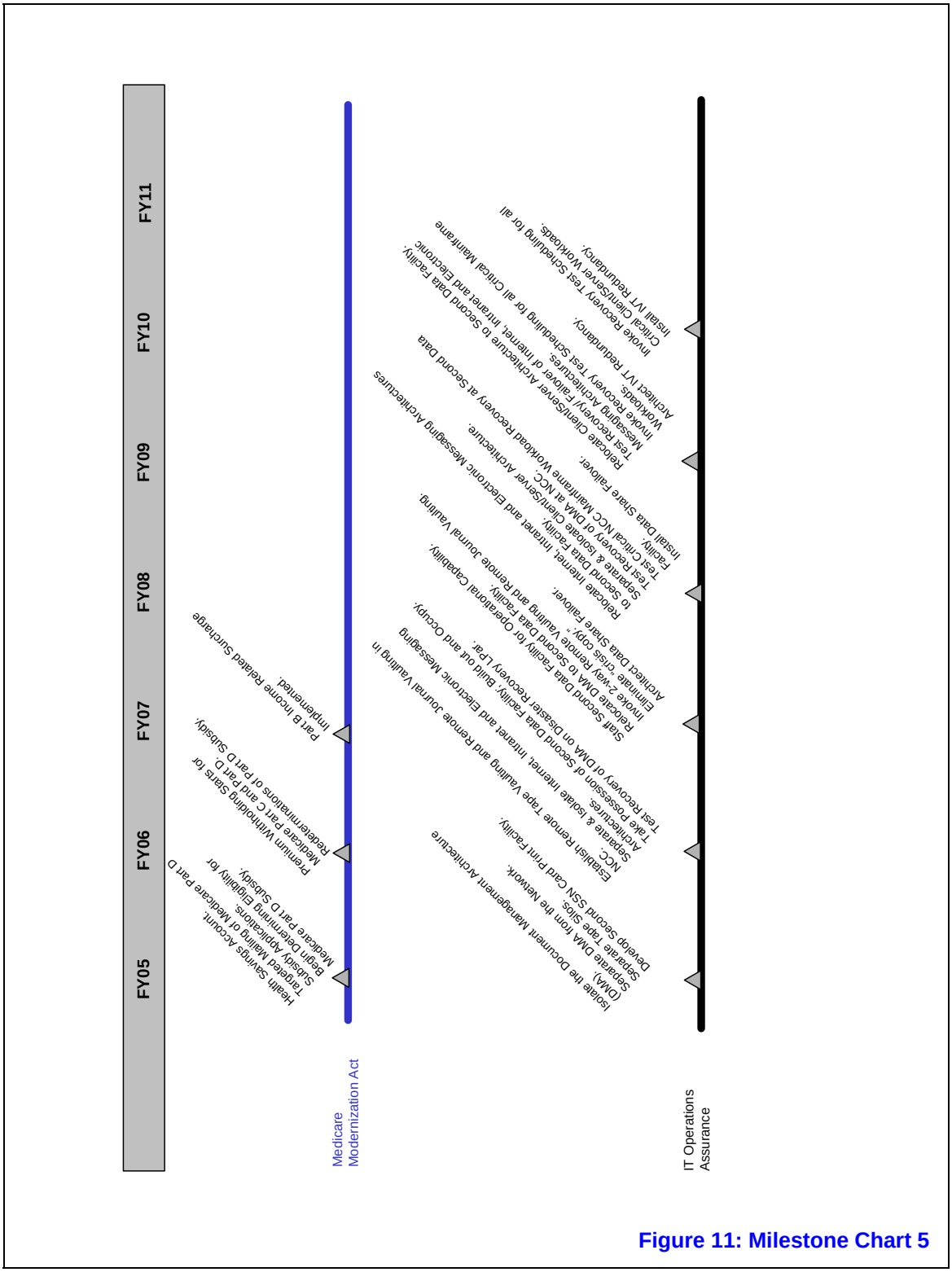


Figure 11: Milestone Chart 5

Chapter 6: IT Security Strategy

Overview

SSA's comprehensive and complex information systems security program has been in effect for many years. The program is composed of security tasks that are continuously evaluated and modified to effectively protect SSA data and other ITS resources. SSA's systems consist of sensitive but unclassified data comprising some of the largest electronic files in any Federal agency. The Agency has instituted a security program which is comprehensive and far-reaching based on sound management principals and governing directives. For example, the IT security program is integrated into the system development life cycle from initiation statement through development, testing and validation and post-implementation testing. In addition, SSA has implemented policies, controls and safeguards at the Agency level to protect the confidentiality, integrity and availability of the data and ITS assets critical to performing SSA's mission.

The Agency has in place an IT Systems Security Plan that consists of the following elements:

- adopting a security architecture;
- integrating security into all information system investments; and
- evaluating and integrating new IT security standards and technology into SSA's business processes to protect software and hardware from both physical and cyber security threats.

The security architecture incorporates the policies, controls and safeguards at the Agency level that protect the confidentiality, integrity and availability of the data and the ITS assets critical to performing SSA's mission. The systems security architecture will act as a framework for adding new capabilities as well as enhancing or replacing existing capabilities. This security Architecture is integrated with the Agency's EA and is consistent with OMB's Federal Enterprise Architecture model.

The SSA IT Systems Security Plan can be found in the appendix of this document.

Security Functions and Responsibilities

SSA has implemented an extensive and comprehensive security infrastructure to fulfill its security responsibilities. SSA's Chief Information Security Officer (SSACISO), reports directly to the Chief Information Officer (CIO) and is responsible for establishing Agency-wide security policies and managing the reporting and monitoring processes to ensure compliance. This is accomplished using a network of security professionals in various organizational components throughout the Agency. Among these components are the Office of Systems Security Operations

Management (OSSOM) in the Office of Financial Policy and Operations under direction of the Deputy Commissioner for Finance, Assessment and Management, the Office of Public Service and Operations Support under the direction of the Deputy Commissioner for Operations, and the Division of Telecommunications and Security Standards and the Office of Enterprise Support, Architecture and Engineering under the direction of the Deputy Commissioner for Systems. These components coordinate, and manage SSA's information systems security programs. This includes:

Developing SSA's security program requirements and procedures;

- Implementing governing directives for systems security;
- Administering the Agency access control program;
- Managing an onsite systems review and a comprehensive security compliance and monitoring program;
- Providing educational training and awareness programs to management and employees on systems security operational policies, procedures, and requirements;
- Serving as the operational focal point for day-to-day information system security issues;
- Providing direction to the Agency's systems security officers in other organizational components; and
- Implementing security requirements and executing safeguards for SSA's state information exchange program.

Every major SSA component has individuals or staffs designated with primary responsibility for security. At headquarters these individuals are Component Security Officers; in the regional field offices they are Center Directors for Security and Integrity. The security officers are usually assisted by one or more access control administrators and regional staffs, and have additional security personnel responsible for other security functions. The security personnel work together with management to ensure that preventative, detective and corrective controls are in place to safeguard SSA's assets.

Statutory Requirements

The Agency complies with all statutory security related requirements and directives which include:

- Privacy Act of 1974
- Federal Managers' Financial Integrity Act of 1982
- Office of Management and Budget Circulars A-123, A-127 and A-130
- Clinger-Cohen Act
- Presidential Decision Directives
  - Critical Infrastructure Identification, Prioritization, and Protection (HSPD-7)

- Enduring Constitutional Government and Continuity of Government Operations (PDD-67)
- Policy for a Common Identification Standard for Federal Employees and Contractors (HSPD-12)
- Federal Information Processing Standard 199 "Standards for Security Categorization of Federal Information and Information Systems"
- Federal Information Processing Standard 200 "Minimum Security Controls for Federal Information Systems
- E-Government Act of 2002 Title III Federal Information Security Management Act (FISMA).

Strategy for current and strategic planning efforts

As noted earlier, SSA has a comprehensive information systems security program in effect that undergoes continuous evaluation and modification to effectively protect SSA data and other ITS resources. Below are some of the information systems security strategies implemented to protect SSA systems.

System Development Life Cycle (SDLC)

SSA's SDLC process applies to all applications and incorporates systems security into the software design and redesign of all major SSA systems. Security involvement begins at the initiation of an application and continues through post-implementation. Additionally, a risk assessment is required for all applications at the origination of the process and also before release to production. This is an inherent part of the SDLC. This process ensures that security safeguards are addressed at every stage of the life cycle process. Security personnel from all SSA components involved with developing a specific system are consulted at each stage of systems development. They are offered an opportunity to provide input to incorporate security improvements before development proceeds to the next stage of the life cycle. This process ensures security functions are developed and tested along with all other system functionality. When validation testing is complete, the appropriate management completes a system release certification. The software moves to an integration testing stage where an additional release certification is completed. It then moves to a training stage, if needed, and then to production implementation. Re-certification is performed every three years or with any major change to ensure the system's applications and security functions and security controls are still sufficient to meet the intended objectives.

Secure Communications & Authentication

SSA is evaluating single sign-on and supplemental authentication devices to facilitate current business processes. This effort is critical to SSA's missions because of the inter-Governmental exchange of sensitive information and data. Executives and security personnel are currently participating in a pilot using secure e-mail messaging communications and encrypted data transmissions. Participation in this pilot is

limited to a small number of personnel for a specific purpose. This and other product pilots are being run to determine a viable Agency solution.

Single sign-on and supplemental authentication devices are being examined to facilitate SSA's varied business processes. Supplemental authentication devices being considered are biometrics, SmartCards, tokens or a combination.

Agency objectives include interoperability with computing platforms, possible elimination of user maintained passwords, improvements in user account management, improved authentication controls and strengthened security for mobile users.

While growth of SSANet has benefited the Agency's overall mission, new risks from outside attacks to the enterprise become evident as the system is opened up. The more sensitive web-based enterprise applications are particularly vulnerable if not protected sufficiently. The first line of defense in mitigating these vulnerabilities is access management technology. Firewalls, encryption, VPN, SSL and PKI complement access management to strengthen the environment.

SmartCards

SSA has replaced the first generation remote access technology, Remote LAN Node, with SmartCard based VPN technology. The VPN allows remote users to securely connect to a private network via the Internet or an IP (Internet Protocol) backbone, while providing optimum security to the SSA Network. The combined technology of a digital certificate on the card and a Personal Identification Number (PIN)/Password allows authentication of the individual requesting access. SSA now requires all remote access clients to use SmartCards.

Under HSPD-12 phase II, a common interoperable Smartcard will be issued to civilian and federal employees. This card will be used for both physical and logical access to government facilities. Some of the features of the card include a picture, user name and agency, PKI certificates and fingerprint biometric data.

Biometrics

Biometrics involves the use of a unique biological feature used to verify the identity of an individual through automated means. The biological feature may be based on a physiological or behavioral characteristic. Under HSPD-12, a fingerprint biometric will be stored in the card.

Certification and Accreditation Program and Systems Security Plans

To comply with the provisions of the E-Gov Act of 2002 and the Title III Federal Information Security Management Act (FISMA), the Agency has established Systems Security Plans (SSPs)for all of its systems identified as meeting the definition of a Major Application (MA) or General Support System (GSS) under the Act. The systems managers are responsible for developing and maintaining their plans and ensuring that they comply with the specific guidance in National Institute of Standards and Technology (NIST) Special Publication 800-18, Guide for

Developing Security Plans for Information Technology Systems. The SSPs provide an overview of the security requirements of the system and describe how management has provided both adequate and cost-effective safeguards and controls to meet the NIST requirements. For example, GSSs and MAs are categorized based upon potential impact of loss, assigned appropriate security controls, tested, certified and accredited prior to implementation and every three years thereafter, or with any major change.

SSA systems security policy includes a certification and accreditation (C&A) process based upon applicable Federal laws, policies, regulations and standards. SSA has formalized its C&A of information technology major systems processes to comply with FISMA and National Institute of Standards & Technology (NIST) requirements.

SSA's C&A program is comprised of several key activities consistent with NIST (800-37 C & A) standards. These activities are:

- Conduct Risk Analysis and Impact Determination (NIST 800-30 and 800-60, formally FIPS 199);
- Complete System Security Plan (NIST 800-18);
- Conduct Security Self-Assessment for Information Technology System (NIST 800-26);
- Ensure Adequate Security Controls implemented per Impact level (NIST 800-53);
- Assess the effectiveness of these Security Controls per NIST 800-53A
- Compile C&A package (NIST 800-37); and
- Complete certification and accreditation (NIST 800-37).

SSA Systems Inventory

FISMA (section 305(c)) amends the Paperwork Reduction Act and requires the head of each agency to develop and maintain an inventory of major information systems operated by or under the control of the agency. SSA maintains an inventory of its major information systems and updates the inventory on a continuous basis.

SSA's core business processes are supported by a complex information technology (IT) infrastructure that includes GSSs, MAs, and related Minor Application subsystems that are essential to ensuring that SSA's business processes are able to operate. SSA has installed and implemented many safeguards to protect the confidentiality, integrity, and availability of the Agency's systems and data that are critical to its mission. The systems inventory is one of the Agency's many safeguards.

SSA updates the system inventory continuously to enhance the Agency's identification and mitigation of risk to critical operations. Agency management recognizes that without an assessment of the Agency's GSSs, MAs and supporting Minor Application subsystems, it is difficult to ensure that automated information systems are operating with appropriate levels of protection.

Access Controls

Computer security at SSA involves multiple processing platforms. Computer Associates TOPSECRET software controls access to all of SSA's critical and sensitive mainframe computer applications. All users accessing SSA's computing platform are subject to SSA's rules for users and managers of SSA's automated information resources. Each IT system user is required to have a personal identification number and password. Application programmers use a special second ID whenever updating applications and their actions are fully audited. Individual user access is controlled further by the use of profiles. Most profiles are developed for a specific job position (positional profile) and contain a unique mix of transactions needed by that position for data entry purposes. Authorized users are granted access based on the principle of "least privilege" only after they have had their requests for access reviewed and approved by both their management and the appropriate security personnel. This provides the first line of defense to prevent unauthorized access to SSA systems and/or data by employees or outsiders.

Audit Trail System

SSA implements audit trails for all SSA applications which process sensitive data. The use of audit trails provides assurance that SSA is living up to its responsibility to protect information and processes that are critical to all Americans. The Audit Trail System (ATS) is one of the tools that staff in the Centers for Security and Integrity, the primary users of ATS, can use to monitor SSA data entry activities and to ensure that the integrity of SSA systems is maintained. Only authorized users are allowed access to ATS, which provides the information necessary to detect, investigate and support prosecution of individuals suspected of fraud, waste or abuse. The ATS is approved for use to obtain the following:

- Activities of an employee suspected of systems abuse or fraud,
- Actions taken on a specific social security number;
- Actions taken by an office or module in support of security or integrity reviews; and
- Actions to analyze suspect systems use patterns.

Critical Infrastructure Protection

Contingency planning and disaster recovery are the processes that are used to minimize the impact of situations that affect the availability and reliability of computer services. These processes are consistent with Presidential Decision Directives (PDD) 63 and HSPD-7.

HSPD-7 establishes a national policy for Federal departments and agencies to identify and prioritize United States critical infrastructure and key resources and to protect them from terrorist attacks. The national initiative is supported by the Critical Infrastructure Protection Coordination Committee, and the SSA effort is supported by the agency-wide Critical Infrastructure Protection (CIP) Workgroup.

PDD 67 requires a continuity of operations plan. SSA has developed a Continuity of Operations Plan (COOP) to ensure that critical functions are maintained. SSA has plans in effect for systems operations that are critical to meeting the Agency's mission, e.g., plans exist to keep critical system functions in operation during an emergency occurring at the National Computer Center (NCC), lasting for several hours to several days, as well as plans for long-term solutions. All SSA field offices, teleservice centers, and regional offices have individual COOP plans to ensure continuity of operations

SSA developed a CIP Plan (CIPP) outlining a comprehensive Agency approach to address physical security, continuity of operations and information systems security. The CIPP outlines the milestones and timeline to: identify critical assets and address vulnerabilities, detect attacks and unauthorized intrusions, develop law enforcement liaisons, share attacks and warnings, create capabilities for response and recovery, train, recruit and provide employee security awareness, and secure appropriations in support of the programs.

Intrusion Protection Team

The Agency's Intrusion Protection Team (IPT) is a combination of contracted penetration testing specialists and Agency employees whose mission is to assist in the protection of SSA's enterprise architecture by anticipating and responding to potential systems threats and vulnerabilities, and acting in an assessment and advisory capacity. Specifically, the IPT protects SSA systems by:

- Conducting internal intrusion detective services;
- Conducting risk assessments and issuing vulnerability assessment reports;
- Implementing safeguards to overcome hacker tools;
- Researching security advisories issued by Federal and private entities; and
- Responding to incidents by reporting them, evaluating their seriousness, controlling damage, notifying users, and resolving similar future threats.

In addition to the IPT activities, SSA has contracted with IBM Managed Security Services to provide real-time external Intrusion Detection Services (IDS). IDS uses IBM's in-house National Security Administration scanning/reporting product to protect against external intrusions. Annually, SSA contracts with an independent auditor to conduct penetration testing to ensure that deployed IDS controls remain effective. Other, additional off-the-shelf products are used to identify and protect SSANet against attempts to gain unauthorized access to network resources from within the network itself.

Security Response Team

SSA has an Agency-wide Security Response Team (SSASRT) to deal with threats to its electronic systems, to assist employees with handling systems incidents, and to share information concerning common vulnerabilities and threats with external entities like the Homeland Security's United States Computer Emergency Readiness Team (US-CERT). The SSASRT reports to the Executive Staff and is tasked with

responding to incidents involving computer systems, Internet and Intranet servers and Local Area Network Servers. Once a security threat is detected, the SSASRT issues advisories to employees on actions to take to combat the attack and shares information regarding the incident with the US-CERT. The SSASRT created and documented the Agency's incident response procedures.

Chapter 7: Process Management

Capital Planning and Investment Control

Information Technology Capital Plan

The Information Technology (IT) Capital Plan provides information for OMB to use annually to evaluate and compare progress made by Federal agencies in support of the Administration's overall IT agenda.

SSA's IT Capital Plan is operational in nature. It is used to transmit the Agency's IT budget request to OMB. During the annual budget cycle this plan is updated to reflect the President's decisions on the Agency's budget. The IT Capital Plan includes the major and significant Agency projects that are approved for implementation. All project implementations adhere to the Agency's Capital Planning and Investment Control process that is documented as part of the Agency's IT Capital Plan.

The IT Capital Plan and its project portfolio support the elements of SSA's unified planning system described in Chapter 1, as well as legislative mandates with which the Agency complies.

Components of the Agency's IT Capital Plan include:

- IT Investment Portfolio (Office of Management and Budget (OMB) Circular No. A-11, Exhibit 53)
- IT Capital Asset Plans and Business Cases (OMB Circular No. A-11, Exhibit 300s) and Self-evaluation of Exhibit 300s
- Addendum to SSA's IRM Strategic Plan Summarizing the Impact of SSA's IT Portfolio Management Process
- Target Capital Planning and Investment Control (CPIC) Process Description
- IT Systems Security Plan

Target Capital Planning and Investment Control Process

The Agency's Target Capital Planning and Investment Control (CPIC) process for Information Technology (IT) establishes and manages the Agency IT portfolio. The Agency CPIC process facilitates project oversight and the integration of Agency processes for making budget, financial and program management decisions.

The Agency CPIC process involves three distinct phases. The process begins with the "Select" phase, a series of rigorous Agency IT portfolio selection activities, followed by the Agency's "Control" process and finally a process to "Evaluate" the

outcome of IT initiatives. The evaluation process provides essential feedback to enhance the CPIC process and improve the Agency management of IT initiatives.

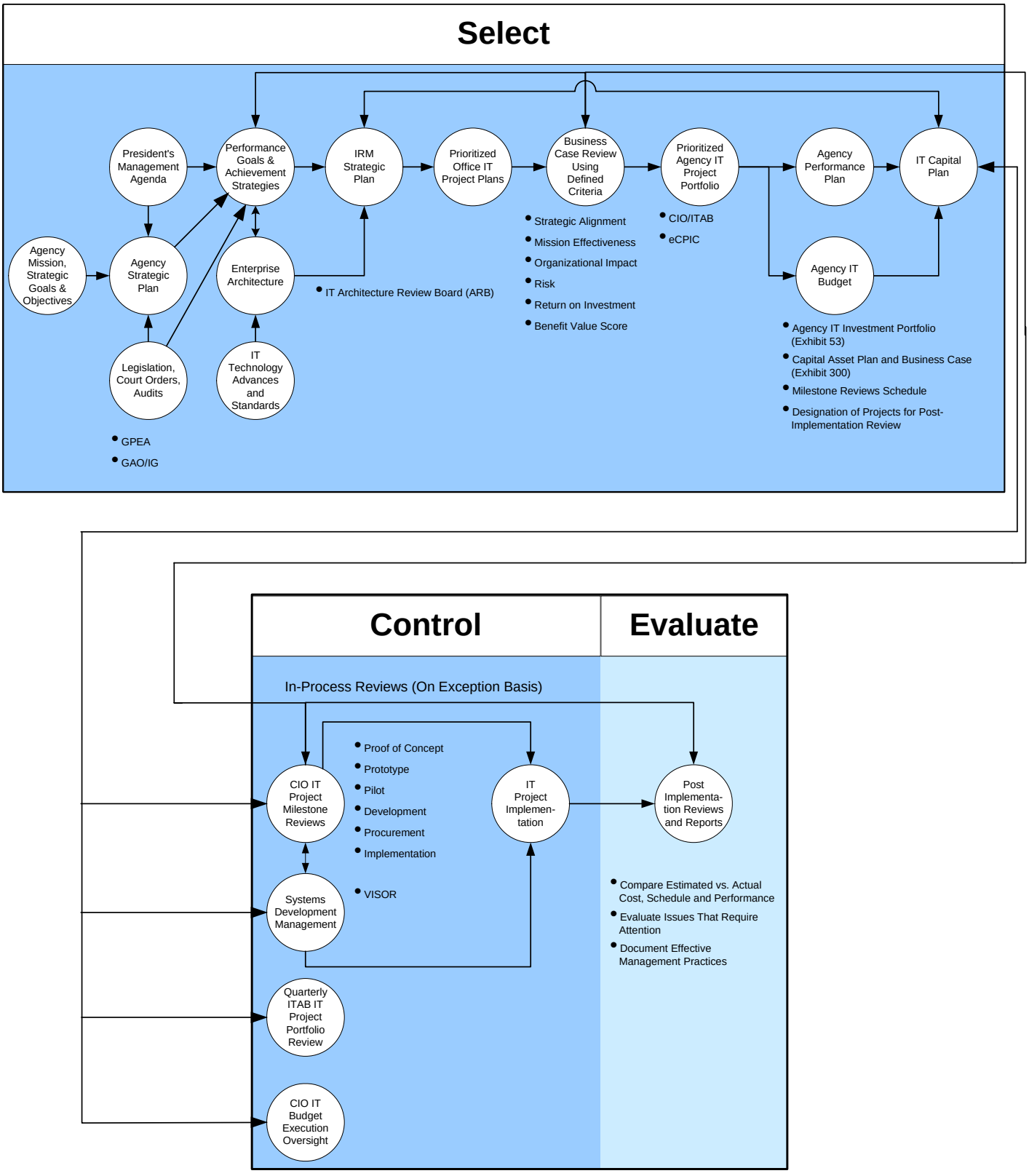


Figure 12: Target Capital Planning and Investment Control Process

Systems Development Management

Advancing technology solutions require that multiple systems management disciplines for developing application software be available to SSA practitioners. In response to a need for improvement in the systems development process, SSA is putting a strategy in place that will update some of the disciplines already in practice, as well as introduce new disciplines.

Software Process Improvement Using the Capability Maturity Model

Systems process improvement using the Capability Maturity Model (CMM) is a good example. SSA's Systems Process Improvement (SPI) program is following the approach recommended by the Software Engineering Institute (SEI) at Carnegie Mellon University, the developers of the Capability Maturity Model for Software. This effort is establishing a repository of best practices for all software development projects to follow. The processes include measurements to improve the ability to predict time frames and staffing needs on projects.

An evaluation of selected high priority projects conducted in 2001 by the SEI resulted in the achievement of maturity level 2 of the software CMM. This achievement positioned the organization to move toward the goal of reaching the quantifiable benefits of higher maturity levels.

As SSA began the move toward the Internet as a new and important service delivery channel for the public, the OS realized they needed to develop and employ the most disciplined methods in this area of new technology. This need became the focus of the push to Maturity Level 3.

A Software Capability Evaluation (SCE) of the OS organizational processes was conducted by the SEI from January 24, 2005 through February 4, 2005. The findings of the SCE rated the organization at Level 3 of CMM. A CMM Level 3 rating is rare in civilian federal agencies.

There are a number of other ongoing activities that embrace innovative methods and guidelines for developing, testing and managing software development projects.

Earned Value Management

Earned Value Management (EVM) is a project management control tool which allows a project manager to identify how an IT project is doing in terms of technical performance, cost and schedule. While SSA has been using the principles of EVM for some time, the Agency has further refined its EVM policies and procedures to comply with EVM industry standards. SSA's objective is to comply with all appropriate laws, regulations, policies and standards, while providing the Agency with a uniform and formal approach to implementing and using EVM. SSA will continue to manage its IT major investments using EVM guidelines. The Agency EVM policy and supporting documents are all available on the intranet at http://co.ba.ssa.gov/pride/org_library/org_items.htm#evm.

Process Assets Library

The Project Resource Guide (PRIDE) is a web-based resource that is intended to be a virtual Project Office. It provides the capability of housing the organization's process assets in a library and delivering specific instruction, guidance and data to SSA management. This information is available to document, plan, monitor, and manage an organizations processes and software development projects.

Project and Integration Management

Policies, standards and procedures are used to insure efficient management, control and integration of SSA's IT projects. The primary objectives of these procedures are to (1) provide management information for oversight and decision making, (2) maximize the efficient use of scarce resources, and (3) ensure the use of uniform, proven practices to achieve project objectives.

Quality Control and Quality Assurance

Quality control (QC) and quality assurance (QA) is an essential element of SSA's comprehensive systems engineering environment. Product developers and line management use QC practices, including Peer Reviews and structured walk-throughs, to ensure that products are reliable, maintainable, efficient and meet user needs. The SPI Team has developed a QA process to ensure that the development process is subject to continuous improvement. The process includes procedures for planning QA activities, conducting them and tracking non-compliance items to resolution. QA activities are incorporated into the project's Software Development Plan and related MSP schedule. The QA process has been implemented as part of the process rollout on software development projects.

Systems Validation and Verification

Systems Validation

Systems-level functional and acceptance testing activities of core programmatic, related management information and administrative software releases are performed using the Interactive Validation Environment (IVEN) which is housed in the Enterprise Software Engineering Facility. The environment is comprised of various automated processes that facilitate data selection for the development of test cases and the management and execution of test runs of target software releases. The environment enables SSA to satisfy application development and change control critical elements as defined by GAO and the SW-CMM and uses the Institute of Electrical and Electronics Engineers' Technical Independence Model for Testing Activity IV and V. SW-CMM requirements for test coverage are satisfied by the institutionalization of automated test coverage tools and practices. The environment provides for independent preparation of test data and independent test procedures as required by external monitoring authorities and the Capability Maturity Model. The environment supports systems testing for mainframe batch, CICS, client/server, and browser-based applications. An integrated validation database provides a test bed of master and transaction files as well as a collection of specialized test data generation

and test data alteration tools. The environment also provides capabilities to conduct usability testing.

The validation environment provides many capabilities including those:

- to evaluate and enable compliance with accessibility standards for CICS screens;
- to streamline disaster recovery testing of CICS applications;
- to share test data across the life cycle;
- to routinely share test data with SSA's CICS training environment; and
- to create test data for SSA's exchange partners including the state Disability Determination Services acceptance testing of the eDib rollout and the Treasury Department.

Systems Verification

Checkpoints in the project lifecycle have been established to ensure that software development items managed under change control are produced. A Systems Release Certification process verifies that all required project activities have been completed at appropriate project lifecycle stages before any software change can be implemented. Software test lifecycle products undergo verification using accepted IT industry methods including inspections and walk-throughs.

Web Testing and Validation

The testing and validation of Web applications are complex and challenging tasks because SSA's web-based applications operate in dynamic environments. Unit testing of web-based applications is conducted to ensure that basic components of the application (JSPs, classes, servlets, etc.) operate as designed and are error free. Automated tools are employed to assist with the unit testing of object-oriented components that are both independent and integrated. Validation for web-based applications is the testing done to ensure that the application performs as defined in the system requirements. The dynamism of the web environment introduces variables into the validation such as a myriad of browsers and browser settings that increases the level of effort required to conduct a thorough validation. Risk-based test planning techniques and the use of automated test tools are used to conduct efficient, effective validations. Risk-based test planning provides a focus on the most critical of tests and provides a plan for executing all required tests. Test management and test automation tools complement the manual testing process and result in an increase in test coverage because they facilitate the productivity of the test engineers/validators. Test management tools are used to integrate requirements management with test planning, test scheduling, test execution, defect tracking and test analysis. Test automation tools expedite the test execution process and provide a more thorough regression test of the application components that are not being changed.

SSA Web testing and validation strategies are reflective of industry best-practices that are continuously evolving as the technology evolves and they also incorporate GAO and CMM requirements for IV & V.

Systems Life Cycle Management

The management of the systems lifecycle at SSA is currently being embodied through three lifecycle models:

- The Internet Project Lifecycle (I-PLC) was developed and documented through the efforts of a technical work group composed of representatives from Systems, customer and policy components. The Agency adopted a policy directing that the I-PLC be followed by all Internet projects.
- A flexible Standard Project Lifecycle (S-PLC) is geared toward non-Internet efforts of longer duration and more complicated functionality. One of the techniques that this lifecycle uses is an iterative systems development approach. In this case, there is a much closer relationship between the requirements definition and analysis and the design; the iterative process can help to streamline the lifecycle.
- The Collaboration Lifecycle was also developed and documented through the efforts of an inter-component technical workgroup. Although all of the lifecycles advocate collaboration during business analysis and requirements development, this lifecycle expands that concept throughout the development and testing activities on projects in which OS and non-OS personnel are jointly developing code to be included with a release of an application.

  The Collaboration lifecycle is intended to focus on communication required between development teams. It is also designed to reduce the project management activities that are required by non-OS developers, while ensuring that proper policies and procedures are followed and the project is properly tracked and managed.

These three methodologies constitute somewhat of a departure from the way SSA has designed and developed systems in the past, but build on the best practices of a highly qualified Systems staff. They embrace an interactive team approach to systems development using small integrated teams of people to develop requirements and code. All three are published and available through PRIDE.

SSA continues to gain experience with its software development efforts and refines its processes and lifecycle methodology accordingly. The effort being conducted by the SPI Team will result in new or revised processes that are in sync with the guidelines established by the SEI.

Data Administration

SSA's current data administration processes and procedures are geared to support systems development and maintenance in a central file environment. The scope of Data Administration encompasses the service delivery and the administrative systems for the Agency. This environment is characterized by multiple systems that use and modify the same centrally maintained data. Data structure definition is managed by three methods: standard file descriptions, standard specifications that explain the data elements found in the files, and standard data names.

In addition, more global procedures are used in selected projects and involve using data structures as the basis for software system design. These procedures cover:

- Developing entity-relationship models;
- Assigning and defining the attributes of those entities;
- Using the attributed models to load project-specific dictionaries; and
- Integrating the project models into a comprehensive SSA view.

Disciplines include data modeling, information modeling, entity relationship attribute modeling, and repository-style databases.

Data Administration functions

The Data Reference Model (DRM), one of five FEA reference models, will play a significant role in SSA's Data Administration (DA) processes by providing guidance for implementing repeatable processes for creating, describing, storing, managing and using data towards the goal of data sharing.

SSA's DA processes employ consistent approaches to provide better visibility and accessibility to data and data artifacts, to encourage better information sharing, to facilitate the use of common data entities when there is a shared business need within and across projects, and to increase the relevance and reuse of data and data artifacts using standardized categorization.

DA processes provide support for both the service delivery and administrative systems of SSA. There are currently two environments in which this is done. The first environment supports the maintenance of legacy systems and the transformation of logical data attributes into implemented data elements. It is characterized by multiple systems that use and modify data. Data structure definition is managed by standard file descriptions, standard specifications that explain the data elements found in the files, and standard data names. The second environment is a global environment created to foster data structures as the source of database design, which in turn is the basis for software systems design. This environment includes:

- Developing an SSA Enterprise Model (EM), which is a logical entity-relationship diagram (ERD) based solely on SSA's business needs;
- Defining each attribute within each entity of the EM; and
- Using the EM as the source for each DA Project Model (DAPM) created, where each DAPM is a sub-view of the EM.

Disciplines used to create this environment are data modeling and information modeling.

Data Administration Functions

The Data Administrator manages data on an enterprise-wide level through the above mentioned EM. This is a model of the information required to support SSA's business functions without regard to application, platform, or man/machine boundary. SSA's EM reflects the agency's business objects, information about those

objects, and relationships among those objects that SSA needs in order to conduct its business.

The Data Administrator also establishes standards for naming entities, attributes, and relationships; the definition of data integrity rules; the development of users' views of the EM; and the support of the database administrators and application analysts.

Data Stewardship

Data Stewardship is an integral part of DA processes and supplements data architecture efforts by ensuring data quality maintenance, thereby providing optimal support for critical business processes. Non-systems components are the owners of the values taken by the data attributes, but data stewardship actions require the values meet established standards. The DA creates and describes the data based on the independent analysis of the non-systems component's needs and by interviewing those with the need for the data. The DA works with these components to identify data quality issues, determine approaches to resolve these issues, and implement the measures required to ensure that data integrity is not compromised.

Architecture Review Board

The Architecture Review Board (ARB) is the guiding and governance body that ensures the effectiveness of SSA's Enterprise Architecture (EA). In this role, the ARB:

- Reviews, approves and provides guidance to SSA IT projects and plans to ensure their alignment with the EA;
- Reviews and approves additions, modifications and deletions to the Agency EA that consists of principles, policies, terminology and definitions, standards and practices;
- Ensures ongoing Agency EA alignment with the FEA reference models; and
- Defines, reviews, recommends and or communicates proposed standards related to the EA to the Deputy Commissioner for Systems (DCS) and with the DCS concurrence, to the SSA Chief Information Officer (CIO) for approval.

The ARB is empowered to perform its roles and responsibilities under the authority of the SSA CIO. The DCS annually nominates the ARB chairperson for confirmation by the CIO. The chairperson acts as the liaison between the Office of Systems and the Office of the CIO.

The ARB is comprised of members representing SSA's infrastructure, application, and data architecture subject areas as well as other SSA business and strategy components that sponsor, lead or participate in IT projects.

Usability

The Usability Center (UC) provides user-centered design and evaluation support service to project teams throughout the Agency. These services include, but are not limited to, documenting user requirements, testing usability and evaluating interface

standards. SSA Internet standards have been developed jointly by SSA components and approved for use. Usability Center personnel work with the Agency's software development teams to ensure that a user interface is easy to use, intuitive, and enhances productivity.

Section 508 Compliance

Section 508 of the Rehabilitation Act of 1973, as Amended in 1998, requires that when Federal agencies develop, procure, maintain, or use Electronic and Information Technology (EIT), they must ensure that it is accessible to individuals with disabilities, unless it would pose an undue burden. Federal employees and members of the public who have disabilities must have access to and use of information and services that is comparable to the access and use available to non-disabled Federal employees and members of the public.

The Section 508 staff in the Office of Systems works with all components in the agency to assist in the development of procurement requirements for purchasing EIT that is accessible to individuals with disabilities. They manage an intranet-based Procurement Wizard to track all EIT procurements, and assist in determining if the EIT is Section 508 compliant or meets an exception that is allowable by law. The staff also tests, evaluates and documents products being considered for procurement for compliance with Section 508.The staff also manages an intranet-based Testing Wizard to track testing and evaluations of all of the applications that are developed in-house. The staff works along with project teams and developers to provide consultation, support, and assistance in developing Section 508 compliant and accessible applications.

Configuration Management

Once a life cycle product is developed, reviewed, and approved it is subject to configuration management (CM) control. In order to emphasize the importance of management oversight of systems change, three levels of Configuration Control Boards (CCBs) exist. The higher-level board is chaired by the Deputy Commissioner for Systems (DCS), with the Associate Commissioners (ACs) serving as members. This board is referred to as the Management Steering Committee with oversight and decision authority over all DCS improvement efforts and disputes between components. Subordinate CCBs exist in each of the principal Systems components. These CCBs are chaired by the AC of the component, with high-level managers serving as members. CCBs also exist at the project level with the authority to approve changes of a minor nature that do not affect commitments to the customers. Efforts are underway to ensure that the CM processes are compliant with the CMM by developing CM standards based on industry best practices.

Data and Application Renovation

SSA periodically assesses the viability of its legacy data and application software environments. Renovation is becoming a part of a systematic routine. Vulnerability

assessments are conducted as needed, identifying and inventorying key areas of investigation that result in the development of renovation plans and activities.

Technology Innovation

Historically SSA has taken a pragmatic and conservative approach to technology innovation. The Agency has relied on mainstream market offerings that typically are also used in other government or commercial sectors, rather than undertaking solutions considered to be leading edge or early market offerings. Yet SSA has had to be a visionary because of the challenges it faces with the large size of our overall business, relative to our customer and partner base. SSA continuously drives the mainstream market place to expand their product sets. Demographic trends, such as growing workloads, the retirement wave and a changing workforce, force a commitment to new levels of technology and early market adoption in appropriate cases. The expansion of our visionary and early adoption strategy will be closely managed in light of SSA's long standing resolve to deliver reliable, secure and scaleable IT services.

The Technology Infusion Board was renamed the Technology Innovation Board (TIB) in FY 2005. The new name more accurately defines SSA's intent to focus on innovation activities. The TIB continues to develop and enhance the implementation of the Technology Infusion Process. The TIB, representing SSA's business, OCIO and Systems organizations, determines priorities of research and applied technology initiatives, presents these to the ITAB, and manages the execution of the recommended areas of focus. The TIB also disseminates information regarding technology efforts underway at SSA or the results from completed projects. The TIB makes recommendation regarding the next steps for innovation initiatives, identifying prototype expansion as well as additional research development.

Records Management

SSA was among the first government agencies to formally address the retention of electronic records. The Agency's first media neutral schedule was published and implemented in 2003. This schedule provided for the retention and destruction of claims file records regardless of media (paper, electronic, tapes, etc.) in accordance with SSA's commitment and goal to move towards paperless processes. This schedule was revised in 2005 to incorporate additional records management criteria necessary for SSA's mission of safeguarding all official records.

SSA formally entered the electronic only records environment with the inception of electronic disability cases (eDib) and signature proxy which have presented a host of challenges, including dealing with the hybrid claims folder. A "hybrid" claims file recognizes and defines a claims folder which exists in both paper and electronic format. The destruction of both parts must be coordinated and performed simultaneously.

The Claims File Records Management System (CFRMS) is being developed to access and manage electronic files and to control the deletion of both paper and

electronic claims files. CFRMS will provide the user a means of accessing all artifacts or documents contained in the electronic folder, regardless of which repository contains the artifact.

While CFRMS will manage the deletion of electronic claims created after June 2004 and their paper counterparts, one of SSA's most compelling records management challenges will be the programming necessary to ensure that all existing systems are National Archives and Records Administration (NARA) compliant. SSA must also ensure that as new systems are created, the development necessary to perform records management in accordance with NARA regulations is addressed in the initial planning stages to meet NARA's established compliance time line of one year following the release of a new system.

In December 2005, NARA mandated that by September 30, 2009, agencies must have NARA-approved records schedules for all records in existing electronic information systems. "Existing electronic information systems are those that are in steady-state operation or mixed life-cycle stage as of December 17, 2005, and electronic records in legacy systems that were not scheduled before decommissioning of the system. OMB Circular A-11 defines both steady state (operational) and mixed life-cycle stage."

Another agency initiative underway is the Assignment and Control Tracking system (ACT) which will replace the Commissioner's Correspondence Control System. This system tracks such things as incoming correspondence and agency critical assignments from the Commissioner and her support staff to other components and/or agencies. The ACT system will contain software that meets NARA's specifications for electronic record keeping and will facilitate both electronic and paper documents which may be scanned and stored in electronic format. The ACT will effectively control, track and delete these records while adhering to NARA regulations.

Historically, NARA has accepted electronic records in primarily three formats: magnetic tape, compact disk and CD-ROM. NARA is now working on an Electronic Records Management (ERM), Electronic Government (E-Gov) initiative. This initiative is intended to promote effective management and easy access to federal agency information. This project will provide federal agencies uniform guidance in managing their electronic records and will enable agencies to transfer electronic records to NARA.

NARA's definition of electronic records management is "using automated techniques to manage records regardless of format." In this initiative, ERM is defined to include functionality supporting record collection, organization, categorization, storage, metadata capture, physical record tracking, retrieval, use and disposition.

SSA supports the ERM as a means of planning for and transitioning to the future which will include the transmission of electronic media to NARA for storage. Guidance will be more critical than ever since this will be a new process and SSA will not be able to rely on past performance and/or knowledge. Structural support to ensure universal uniformity will be beneficial to not only SSA, but to all government agencies and should result in significant savings.

With the expansion of and total reliance on electronic records, it is critical that SSA effectively create, manage and legally dispose of and/or permanently retain electronic records. In sustaining the public trust inherent to the programs SSA administers, SSA is committed to managing its electronic records in a manner that preserves the integrity of the record and facilitates electronic access to the record now and in the future.

Chapter 8: Data Center Management

National Computer Center

SSA's National Computer Center (NCC) is one of the largest computer facilities among civilian Federal agencies. The NCC provides the multiplatform systems operations support for the Agency's IT hardware, applications and networks (including telecommunications). NCC staff ensures that new services are implemented, operated, maintained and supported. Within the NCC, SSA maintains 6 mainframes, 4 processing architectures (Internet, Intranet, Client-Server and Mainframe), and multiple servers across five different major operating systems. Mainframe data storage capacity is approximately 191 terabytes, with an additional 109 terabytes to support client/server processing. In addition, the NCC supports and maintains the Agency's telecommunications system supporting the toll-free, national 800 number, direct access, internal access and public networks.

NCC staff provide on-site 24x7 production support for the Agency's IT systems, including nightly "batch" maintenance of files, report generation and distribution, backup of critical data, and first-level help desk support, as well as monitoring and diagnostic evaluation of the Agency's mainframe and network systems.

The NCC's data center environments are constantly evolving as new technology is introduced and as new solutions are implemented. From legacy systems to Internet, Intranet and managed applications, the NCC provides SSA a scaleable and secure IT environment.

SSA structures the management of its data center operations around four key concepts: Availability, Stability, Changeability, and Securability.

Availability means access and performance.

Access must be provided to both the SSA community (including the state Disability Determination Services) and the public. SSA employee users must have access to the Agency's IT infrastructure services while office and telephone access is provided. Non-employee access (e.g. data exchange partners and the public) is required at times approaching 24 hours per day, seven days per week.

Performance is the system's ability to process workloads on a timely basis. SSA utilizes Service Level Agreements, with frequent end user transaction response time as part of its Information Technology Service Management (ITSM) strategy. Measurements of infrastructure utilization (e.g. CPU utilization and network traffic volumes) are also key indicators of how the automated systems are performing. These performance measurements are monitored around the clock and reported on a daily basis. Trends and abnormalities are analyzed to support proactive planning and

so that action can be taken to maintain expected levels of systems performance. (See Performance and Service Level Management, below)

Stability is the high availability of SSA's systems overall—without patterns of even brief periods of outage.

An outage may be loss of access or a decrease in performance that renders the service virtually unusable from the user perspective. Any interruption causes losses in productivity time much greater than the duration of the outage. When a member of the public is affected (e.g. prolonged interview, incomplete 800 number contact), opinions of SSA services are negatively influenced.

Changeability represents the degree to which the Agency's IT infrastructure can be maintained and refreshed. Changeability reflects the proactive management of the Agency's IT infrastructure to preserve its availability and enhance its stability.

IT Hardware must be replaced on a regular basis and software must be updated consistently in order for the Agency to conduct its business efficiently and effectively. SSA's capacity management activities ensure that current and future IT capacity and performance aspects of SSA's business requirements are provided cost effectively. (See Capacity Management, below.)

Concurrently, SSA's applications management activities manage the complex processes of implementing software applications from the initial identification of business needs, through the development lifecycle, to testing, validation, implementation, maintenance and retirement.

Securability is that aspect of IT management that focuses on protecting the Agency's data, information, and IT and telecommunications systems.

To protect data and information, IT managers must ensure that least privilege access policies are applied and enforced and that a balance is maintained between the Agency's business process needs and its mandate to preserve the integrity and privacy of the data and information it holds.

Performance and Service Level Management

During the later stages of application development, application performance analysis load tests are conducted to determine the capacity of the application system to sustain the stress of production workloads. The Risk Assessment Report is updated based on the results of the load tests.

Periodically, performance analysts conduct analysis of planned enhancements to the Agency's production architecture. These tests typically require the development of lab configurations which resemble the planned changes to the architecture and the development of tests which will allow for the analysis of impacts to current and future workloads. These tests are also helpful in determining the impact on overall processing which may result from the implementation of new operating systems or how operating systems are implemented.

Well-performing automated systems are required to accomplish timely processing of SSA's programmatic and administrative workloads. SSA's Performance and Service Level Management processes objectively monitor the critical infrastructure and workload performance of these automated systems, including SSA's server and desktop infrastructure, the local area networks (LANs), the telecommunications network which links all SSA sites and connects SSA to the public, and the mainframe infrastructure hosting SSA's mission critical applications and resources. Performance management processes have been established for the Electronic Messaging Infrastructure and the Internet infrastructure supporting the Agency's public website (http:\\www.socialsecurity.gov).

Availability and stability are priority elements of Performance and Service Level Management:

- SSA's **Performance Management System** provides management and technical staff with the reports, tools and techniques needed to determine if performance objectives are being met. The objectives are based on current operational objectives, applicable contract provisions, established service level agreements and current industry standards for system performance.
- **Service Level Agreements** exist for the Agency's major workloads and are established for significant new system workloads. In addition, a generic Service Level Agreement of common services exists for all major workloads. Development of these agreements begins during the operations planning stage and is well underway prior to the implementation of the new system. They are finalized after production implementation. This permits actual user behavior, application tuning and *in situ* factors to be better reflected in the Service Level Agreements.

Routinely using information produced by systems operations, analysts assess the extent to which the agreements are met. When departures from the standards occur, management notifies the program component and acts to restore the service level. In the future, management will emphasize developing more highly automated and integrated monitoring and reporting mechanisms.

The Performance and Service Level Management System are being expanded to provide for online exception reporting to monitor and evaluate availability and performance of applications against Service Level Objective thresholds. It will provide identification and resolution of problems through the use of early warning exception reporting and through automated interfaces with the existing change management and problem management systems.

Service Levels are developed using the following methodology. For an application, key business functions and volumes are extracted from such application documents as the Business Process Plan and the Cost Benefit Analysis. Computer systems architecture designs and computer systems process flow diagrams provide information to the initial workload estimates in a "paper model," or Load Intensity Table (LIT). LITs provide input to network and application simulation models, and the models project estimated response times. LITs also provide input to application performance test designs and application load/stress tests.

Network and application models provide estimates of application response times. Application software must be developed before application performance tests and application load/stress tests can be conducted. Results from application performance tests and load tests provide tuning and design recommendations for the application while it is still in development. When the application software is deployed in pilots and production, the computer resources are monitored and response time measurements are made.

Production availability monitoring occurs during pilot and production deployments. Service Level Metrics are a combination of estimated and measured response times from the above sources and Initial Service Level Objectives.

Service Level Objectives are updated from Service Level Metrics at each project phase. Service Level Objectives provide initial and semi-annual updates to Service Level Agreements.

Capacity Management

Capacity planning and management is an integral part of the overall IT planning process. It allows the Agency to identify the point at which existing IT resources can no longer support its workload requirements, and when they need to be replaced, refreshed, supplemented or upgraded. Capacity management is concerned with the monitoring of Agency IT resources to insure that OS's operational computer systems and network capacity is utilized effectively and efficiently, and that performance objectives are being met. All critical components are regularly monitored and application systems are routinely evaluated to ensure their performance is within expectations and service objectives are met.

The Agency uses sophisticated analytical techniques (including usage analysis of computing capacity, main memory, auxiliary storage devices, network capacity, and printing) to collect and analyze IT resource utilization data for individual workloads. Each workload is reviewed periodically to determine its future requirement.

Changes in requirements are based on changes in the functionality of the software, changes in the number of users of the software, and on actuarial data regarding the frequency of the software use. New workloads and workloads under development are estimated based on a comparison of relative functionality to existing workloads, and the rate at which the workloads can be processed by the new technology.

Capacity management for server platforms focuses on the measuring server utilization wherever located within the Agency IT infrastructure. Individual requirements are established for each server based on the function that server performs and the volume of transactions which pass through that server. Production utilization data is combined with future workload growth projections in performance modeling software for mainframe, Windows, Unix, and iSeries AS/400 operating systems applications to predict hardware capacity upgrade requirements.

Network Customer Service Center

The Network Customer Service Center (NCSC) is a centralized, consolidated call center located in the NCC. NCSC staff provides problem reporting and resolution services to a wide variety of SSA network customers for numerous LAN/WAN devices, system platforms, COTS software, SSA specialized applications, and Assistive Technologies for Employees with Disabilities (EWD).

NCSC staff:

- Accept all types of initial trouble reports;
- Diagnose and resolve LAN/WAN problems on the initial call. As necessary, help desk engineers consult with more experienced staff in an effort to resolve problems on the initial call;
- Record, report and document problem calls;
- Provide close management of the Call/Problem handling and support process; and
- Perform both real-time voice and electronic emergency notifications; and

National Network Service Center

The National Network Service Center (NNSC), also located in the NCC, serves as the SSA network monitoring and network operations component. The NNSC houses a variety of automated and manual monitoring systems providing proactive surveillance and exception alerts on SSA enterprise-wide systems, including Microsoft Windows infrastructure servers, inter/intranet servers, critical application servers, and wide area network communications equipment. The NNSC is a 24x7 operation that serves as a backup to the NCSC and is capable of performing many NCSC functions.

Other services provided by the NCSC are:

- Monitoring support for the mainframe production environment;
- Providing specialized monitoring support for projects and pilot applications;
- Providing 2nd level support to SSA network customers for mainframe applications and issues involving CICS transactions, mainframe print traffic, and 3270 session connectivity;
- Problem report intake, documentation, resolution, and escalation;
- Disseminating widespread outage and national scope, production degradation notifications;
- Maintaining critical equipment at the Remote Operation Communications Centers (ROCCs) such as core router and switch equipment for backbone communications to the ROCCs;
- Maintaining SSANET communications circuits that service end-sites;

- Maintaining end-site WAN communication devices and LAN equipment;
- Performing 1st and 2nd level LAN/WAN problem determination and resolution steps; and
- Interacting with the onsite Verizon and AT&T Network Operations Center to identify, report, diagnose, and resolve network communication issues.

Business Recovery

Business Continuity and Contingency

An Agency workgroup conducted a business impact analysis, which involved the review and confirmation of critical workloads and priorities. The business impact analysis included a review of the current Agency Contingency (Disaster Recovery) Plan, as well as the Agency Strategic Plan, the Information Technology Architecture Plan and the Government-wide Study on Infrastructure. This last item is included to ensure the Agency has considered and included Government-wide considerations in its plans.

Information Technology Operations Assurance

The Agency's Information Technology Operations Assurance activities ensure that SSA is able to quickly restore the National Computer Center (NCC) computing environment in the event of a natural or man-made disaster. This project supports SSA's mission by providing the computing resources needed to continue issuing checks, taking claims and supporting all the other services SSA provides no matter what may befall SSA's computing environment. SSA continually reviews, updates and improves its backup and recovery procedures.

- SSA maintains and updates the Disaster Recovery Plan for Computer Operations at the National Computer Center, which provides a high-level overview of the Agency's Disaster Recovery Plan for the Agency. This document does not contain sensitive information and is available for public distribution.
- SSA maintains an updated version of Technical Procedures for the Off-site Restoration of SSA's Computer Operations. This document contains sensitive information and its distribution is limited. Copies of this document are also stored at the Off-site Secure Storage Facility and the commercial off-site recovery facility.
- Offices of Systems components regularly review and update the Technical Procedures to meet current operating requirements.
- SSA maintains and updates the Emergency Response Plan for the National Computer Center. This document details procedures for the invocation of the Agency's emergency response. It contains sensitive information and is distributed on a limited basis.

- SSA maintains an Inter-Agency Agreement (IAA) with the General Services Administration for Disaster Recovery facilities and services. This IAA provides sufficient computing resources to allow for the ultimate restoration of all SSA services should any type of event prevent the SSA from using the NCC.
- SSA identified critical workloads for immediate restoration in the event of a recovery event. SSA identified secondary, or deferred, workloads for phase two restoration.
- SSA continues to identify and provide new hardware to support restoration of SSA's continually evolving computing infrastructure.
- SSA conducts annual recovery exercises at commercial off-site recovery facilities to insure the Agency's ability to restore its critical systems and improve the Agency's technical procedures for restoration.
- Equipment and facilities are in place to provide telecommunications between SSA offices and the recovery facilities.
- An internal Disaster Recovery test facility at the NCC is operational. This facility allows SSA to insure all data required to support off-site restoration is backed up and stored off-site. In addition, this facility provides an initial testing vehicle for technical recovery procedures, prior to the off-site exercise.
- SSA continues to explore options to speed the backup, recovery and restoration of computer operations.
- Recognizing that the size and complexity of its data center are rapidly outpacing the capacity of any known existing or planned hot-site facility, SSA is developing plans to provide for additional IT operations assurance through deployment of a remote, fully secure co-processing site.

Chapter 9: IT Human Resources Management

IT Human Resource Strategy

SSA's IT human capital resources include about 3,800 employees, most of whom (about 3,200) are organizationally located in the Office of Systems (OS). The remaining employees are located throughout the rest of the Agency.

The IT Workforce Strategic Plan, which is tied to the Agency Human Capital Plan, guides the management of this key resource. The plan looks at the existing "as is" and develops the "to be" by taking into account such items as current job skills, retirement eligibility, skills lost to retirement, attrition rates, contractor support, recruitment needs and potential future skill needs.

To help determine current and future needs, the Office of Systems has conducted annual skills inventories since 2002. This is an intranet application which collects data on employee skills, the skill levels (basic, intermediate and advanced) and provides management information on skills at the aggregate level. The application also captures information about retirement eligibility, skills potentially lost to retirement, attrition rates, contractor support, and future skill needs. This in turn helps to identify gaps as well as future requirements in skill needs.

The Skills Inventory Surveys coupled with Environmental forecasts drive the planning needed to recruit new personnel as well as to train the SSA workforce in new skills. The survey results are used to develop the IT Workforce Strategic Plan and guide efforts to address these gaps and requirements by focusing on hiring, training, and professional development.

The Office of Systems plans to update the skills inventory and future needs data in 2007 to better link staff requirements and workforce strategies.

Commitments to SSA Employees

SSA is committed to providing employees with a workplace of choice. Through management planning, continued training, staff development and an effective work environment, employees are provided with opportunities for personal and professional development, including training, career and skill development at all grade and occupational levels. SSA is also committed to maintaining a diverse and accessible work environment that includes accommodations for employees with disabilities.

This is a long-standing commitment by the Agency. Beginning in the early 1980s, the Agency deliberately has invested considerable resources in building an information technology staff that has the necessary knowledge, skills, and abilities to build, manage and modernize SSA's information systems. The Agency's success over time has shown that this has been a wise investment.

The Current Staffing Picture

The OS workforce includes nearly 3,200 technical employees who are skilled in a wide variety of computer-related specialties. These skills range from the basic ability to operate a personal computer, to managing highly complex IT projects, to having an in-depth knowledge of SSA's mainframe operating system. The workforce's supervisor to employee ratio is 1:12.

In FY 2005, and continuing into FY 2006, SSA was delegated a critical-need direct-hire authority from the Office of Personnel Management (OPM) to fill vacancies needed to implement provisions of the Medicare Prescription Drug, Improvement and Modernization Act (MMA). As a result of this legislation and the corresponding shifts this caused in workloads, the hiring efforts were continuous throughout the fiscal year. The largest numbers of new hires came onboard in the first, third and fourth quarters.

In FY 2005, the Full-Time Permanent (FTP) attrition rate was about 8.3 percent, or 250 losses. Nearly 63 percent of these losses were due to regular retirements. Another 7 percent were due to early-out retirements. While more employees in the workforce have begun to reach eligibility for Federal retirement or have accepted the Agency's early-out retirement option, data shows that the number leaving because they were seeking IT positions elsewhere or in the private sector remains low.

Addressing Staffing Needs

The OS has been able to offset these losses by targeting most of the replacement hiring authority towards recruiting highly skilled technicians from private companies (including many SSA contractors) as well as recent computer science college graduates. The OS also continues to use nationwide recruitment efforts to improve workforce diversity.

The OS recruiting is proactive. Current projections show that the OS is in the midst of a retirement wave that will witness 34 percent of its current workforce (1,087 employees) reaching retirement eligibility by 2009. For planning purposes, the OS is forecasting that the number of employees accepting regular retirement will remain between 4 and 5 percent of the organization annually through 2009. These projections indicate a potential loss of nearly 700 FTPs over this five-year period, with the resulting loss of their experience, knowledge, and technical skills.

The OS's IT Workforce Strategic Plan recognizes that losses of this magnitude over such a short period of time cannot be offset by recruitment alone. The plan looks to recruitment as one tool among others, including identification of current workforce

skill gaps and training needs, planning for succession, establishing best practices and improving the rate of retention to meet this challenge.

The figure titled *FY 2004 Losses and Hires* highlights the placement of the Office of Systems' FTP hiring by workload in FY 2004. The majority of the FTP hires (327 of 373) in FY 2004 were assigned to the Agency's highest priority initiatives.

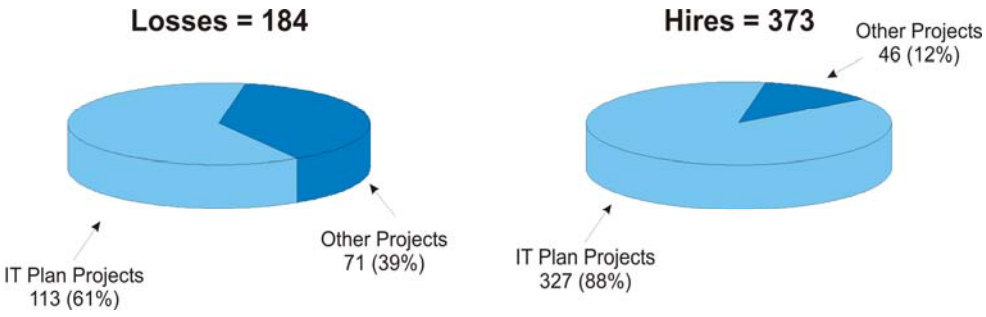


Figure 13: FY 2004 Losses and Hires

The OS workforce distribution in FY 2005 is depicted in the figure titled *FY 2005 Estimated FTEs*. These resources were used to provide ongoing systems and network maintenance support, and to carry out the Agency's critical IT Plan and reengineering initiatives. The FY 2005 resource estimates were adjusted to reflect the impact of legislative changes, including the Medicare Modernization Act. In addition to OS' in-house resources, the OS employs over 600 contractor personnel. While contractor personnel support some workload functions, the need to recruit and maintain a well trained in-house technical staff will continue.

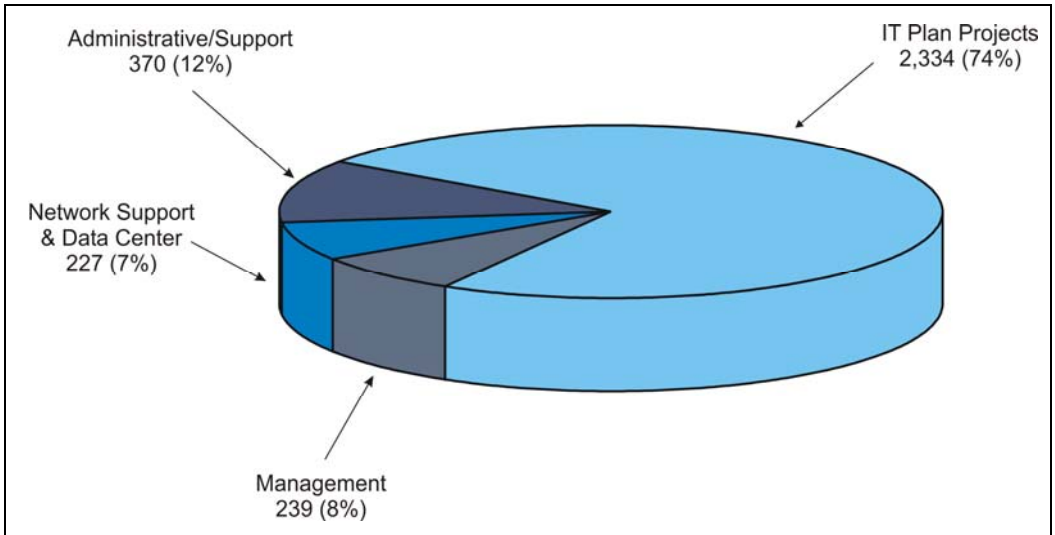


Figure 14: FY 2005 Estimated FTEs

Meeting Future Skill Needs

The IT Skills Inventory, coupled with environmental forecasts and the planned implementation of SSA's target architectures, is key to forecasting the future skills needed by SSA's IT workforce.

Continuing attention to the following will ensure that skills needed to support the target architecture are maintained:

- Skills and skill levels needed;
- Training;
- Career paths;
- Employee development;
- Mentoring and coaching;
- Rotational development; and
- Retention and recruitment.

The Systems Technical Training Program (STTP) provides a flexible approach for maintaining high skill levels for both technical staff and managers. Carried out in a client-focused manner, the program enables employees to be more responsible for their training and development. Using a variety of delivery approaches, the STTP provides the necessary technical training on an ongoing basis.

The STTP defines a set of core courses for all OS employees. These core courses present a conceptual picture of the working environment while technical staff receives an additional set of core courses that provides a more technical introduction to the environment. Training then concentrates on building specific skills. A set of technical skill categories, or areas of competency, has been defined and courses required for each competency area have been developed.

The OS encourages and supports employees in obtaining industry certifications, such as the Microsoft Certified Systems Engineer credentials or Project Manager Professional. The use of an IT Skills Inventory allows continuous identification of the skills needed and to then use training programs to ensure that OS employees have the necessary training to be effective and proficient.

Career development for these new hires is critical to the organization's success. Most entry-level hires are placed in career ladder positions with individually tailored training outlined in Individual Development Plans that focus on developing technical skills related to the specific job assignment. Additionally, entry-level hires attend group training in a set of core courses covering soft skills, including Customer Service, Intergenerational Mix, SSA's business processes and Security Awareness. Further, the OS provides all entry-level hires with a mentor.

The OS is focusing on some emerging skill areas. Analysis has shown that an important emerging skill area is in Internet/Intranet application development and web page design. Internet/Intranet usage has skyrocketed across government and is expanding significantly. Multimedia development tools and media design concepts

are areas that will become prominent in the upcoming years. Other such high-growth areas include Voice over IP and wireless networks.

SSA's infrastructure is becoming more mature and requires increasingly sophisticated skills and tools to build and manage it. Employees need new skills in distributed systems network design to enable SSA to make a smooth transition to using the full potential of the network environment.

OS employees can stay abreast of the latest hardware and software technology developments through various technical research services. In addition, SSA GoLearn is the Agency's online training website that offers employees access to approximately 2000 online courses.

Project Management has long been an area where the Agency has provided training. With the new emphasis from OMB on better project management, SSA has stepped up efforts in this area. SSA has improved its curriculum for training managers on project management skills and techniques as well as on Earned Value Management. This approach not only supports the proven techniques from the Project Management Book of Knowledge, it supports certification of project managers for major projects which require a Capital Assets Plan and Business Case. The courses cover basic and advanced project management skills along with team building, estimating techniques, risk management and project tracking. This training ensures that software development project managers in the OS are skilled in industry best practices.

These courses are part of a 3-prong strategy to develop IT project managers; the strategy is expected to be implemented in FY 2006. The strategy consists of education, e.g., 5 or 6 core courses; mentoring for new project managers; networking, which will offer the new project managers an opportunity to meet with their peers and attend meetings and conferences to discuss best practices, problem resolution, etc. When project managers complete the project management curriculum and mentoring, they will receive an internal project management certification.

Basic skills training is offered to help prepare lower-graded employees for advancement. Special attention is given to developing career paths for employees who have been in clerical or computer equipment operator positions for a number of years.

Entry-level technical employees need a foundation of knowledge about their position, organization, mission, projects and responsibilities as well as other information to help them work comfortably and productively. Therefore, the OS matches seasoned employees with new employees for mentoring and coaching. Mentoring plays an important role in passing on business knowledge and developing needed skills.

MANAGEMENT SKILLS

SSA's future success also requires strong leadership and management skills. Most of the OS managers have come up through the ranks of the Systems organization or from technical jobs in the private sector, and have strong technical backgrounds. A number have backgrounds in SSA's program areas. OS managers need to stay

current with technology and be aware of new and emerging technology in order to better lead their technical personnel.

While technical skills are critical for managers, functional skills such as planning, staffing, organizing, delegating and communicating also are critical. The OS Management Leadership Curriculum for middle and senior managers has been in place for over 2 years. The curriculum includes skill areas necessary for effective management and leadership such as planning, problem solving, communicating, presenting and motivating management teams. New skill development for managers is focused on improving leadership, project management and interpersonal communication skills.

Beginning in FY2006, this is being expanded to include skills in core competencies related to IT management as required by the Clinger-Cohen act and incorporates professional project manager training. The Agency has a pilot "Leadership Symposium" that will be expanded to all Systems managers, if funding allows. The OS is developing a matrix of training courses, tied to the training strategy devised by the Office of Training in SSA's Office of Human Resources. Beginning in FY 2006, a training matrix will provide directed training for managers to ensure that they have the tools and job knowledge to perform effectively.

The OS is addressing the needs of its Team Leaders in the form of an ongoing initiative to develop a Team Leader Curriculum that will cover skills that team leaders need to guide their teams effectively.

Plan for Meeting Future Skill Needs

SSA's vision of the future anticipates that technological changes will continue to occur at a dramatic rate. The introduction of even more advanced technology requires innovative thinking, a new way of viewing processes, and proficiency in using new products. In addition, predictions are that there will be too few people trained in information systems to satisfy growing needs in both the public and private sectors. The rate of college students entering the Computer Science field has been decreasing for the last few years. Furthermore, the gap between the demand and the supply of skilled professionals is growing. These factors force SSA into competition with private industry for retaining skilled systems personnel and challenge SSA to develop current employees to their full potential. SSA's plan for meeting these challenges is to continue to execute its workforce strategy, to conduct frequent skills inventories and take timely steps to address identified needs using the tools the Agency has assembled.

Recruitment Strategy and Employment Incentives

Recruitment Strategy

The Office of Systems uses recruitment as a strategic approach to obtaining needed technical skills and competencies in human capital resources. The strategy is predicated on planning assumptions that include a dramatic increase in program workloads coupled with a rapid pace of technological advances, and the loss of a

potentially high percentage of SSA's own employees due to retirement or for other reasons.

The OS has a recruitment staff in place and uses the results of the Skills Inventory Survey to determine future needs. The recruitment strategy is multi-faceted and includes several initiatives to optimize recruitment and enhance current successful retention efforts that include:

- Forecasting future IT human capital resources and recruitment needs;
- Developing hiring goals;
- Utilizing a comprehensive college recruiting and entry-level recruitment plan; and
- Designing specific approaches for obtaining the hard-to-find technical skills.

Compensation

Attracting new personnel with the technical skills required by the rapidly changing IT environment has become increasingly difficult. Analysts predict the labor market will remain highly competitive so the recruitment challenges SSA presently faces will remain an issue the organization will face for the foreseeable future. So far, in FY 2006 SSA has experienced high competition from both private industry and other Federal Agencies for both the entry-level and professional-level employees.

SSA monitors IT compensation in the headquarters geographical area by survey data and by personal survey at job fairs. The Agency has used flexible incentives such as recruitment bonuses, retention bonuses and above minimum salary offerings to attract new personnel. In FY 2005 the Agency limited offering above minimum salaries for entry-level candidates to only those with prior IT work experience. Because this focus reduced the number of overall applicants, Systems recruiters went to more job fairs.

Entry-Level Commitment

Because the OS will be facing a substantial retirement wave in the next 5–10 years, the OS gives conservative but focused priority to its future needs by specifically targeting FTEs for entry-level hiring. In each of the past 4 years, the OS has set aside 25–30 % of its potential hires for entry-level positions. The OS uses various hiring authorities to recruit entry-level employees including: the Administrative Careers with America postings, the Federal Career Intern Program, Veterans' Recruitment Authority Appointments and Schedule A appointments for persons with disabilities.

In the last 3 years, the OS has moved to target more of its entry-level hires on college graduates who have Information Systems (IS) or Computer Science (CS) degrees. These talented individuals are recruited with a commitment to their training and personal development and are more valuable to the organization because of the specialized skills they already possess. This enables us to focus training and development dollars on their advanced technical training needs directly related to their positions. SSA strives to be the "Employer of Choice" for graduating students in the IT field.

Recruitment Focus

The recruitment staff is increasing its use of the internet to communicate with candidates and schools. Today's college students are savvy with and prefer the use of school-provided email accounts to communicate with us. In fact, the staff communicates with colleges and delivers recruitment materials including job announcements and receives most of our candidate transcripts over the internet. The anticipated shortage of new graduates with diverse cultural backgrounds in computer science and related IT fields makes college recruitment programs an important focus in the hiring strategy.

Workplace Incentives

SSA has numerous workplace incentives that are highlighted extensively in the marketing of System's employment opportunities. One of the most valued by today's job seeker is work tour flexibility. Flextime and choices between two alternative work schedules (AWS-5-4-9 and 4/10) are marketed as opportunities to vary a work schedule to adjust a person's work tour to his/her lifestyle and the contemporary workforce. Other valued benefits include: paid overtime or compensatory time, a retirement plan that includes a 5 percent matching feature in the Thrift Savings Plan, an onsite fitness center, credit union, employee association, post office and onsite day care centers. These services augment the benefits for SSA's current workforce as well as provide incentive to prospective employees.

Support Services and Competitive Sourcing

SSA will have a continuing need to contract for IT support services. In general, SSA serves as the systems integrator for most agency developmental projects and operational functions. However, skilled contractor resources are often needed to supplement SSA's staff because there continues to be a critical shortage of experienced, technically qualified personnel available to meet the Agency's needs for new programmatic and administration/management information software applications while simultaneously maintaining current systems. Even with the stated goal of recruiting, developing and retaining a high-performing workforce, maintaining appropriate skill levels will require supplementing the SSA personnel with contractor resources.

Furthermore, because many of SSA's employees are eligible to retire in the next five to ten years, loss of key systems personnel will impact our ability to develop and maintain our programmatic and administrative/management information systems. SSA is in competition with other Federal agencies and private industry to hire and retain employees skilled in these new technologies. The use of contractor support assist us meet these challenges.

In addition, the President's Management Agenda has established Competitive Sourcing as one of five management initiatives. A number of Information Technology functions are considered commercial in nature. Over the next few years SSA expects to conduct competitive sourcing studies under procedures of the newly

revised OMB Circular A-76. The results of these studies may change the percentage of work contracted. That percentage may go up or down depending on the results of the competitive sourcing studies.

Chapter 10: Budget Perspective

RESERVED

It is administration policy that all information related to the formulation of the FY 2007 budget request may not be disclosed while sensitive budget negotiations are underway.

Glossary

#

24/7	24 hours per day, 7 days per week

A

AC	Associated Commissioner
ACT	Assignment and Correspondence Tracking System
APP	Annual Performance Plan
ARB	Architecture Review Board
ASP	Agency Strategic Plan
ATS	Audit Trail System
AWS	Alternative Work Schedule

B

BEST	Benefits Estimate Calculator
BEVE	Benefits Verification
BRM	Business Reference Model
BVS	Benefit Value Score

C

CBA	Cost Benefit Analysis
CCB	Configuration Control Board
CFRMS	Claims File Record Management System
CHIP	Customer Help and Information Program
CIO	Chief Information Officer
CIP	Critical Infrastructure Protection
CIPP	CIP Plan

CM	Configuration Management
CMM	Capability Maturity Model
CMS	Centers for Medicare and Medicaid Services
COOP	Continuity of Operations Plan
COTS	Commercial Off-The-Shelf
CPIC	Capital Planning and Investment Control
CPU	Central Processing Unit
CS	Computer Science
CTI	Computer/Telephony Integration

D

DA	Data Administration
DASD	Direct Access Storage Device
DBMS	Data Base Management System
DCS	Deputy Commissioner for Systems
DDS	Disability Determination Services
DEADA	Division of Enterprise Architecture and Data Administration
DI	Disability Insurance
DIET	Division of Integration and Environmental Testing
DOC	Data Operations Center
DOCS	Distributed Online Correspondence System
DRM	Data Reference Model
DRMS	Data Resource Management System
DSI	Disability Service Improvements

E

e-mail	Electronic Mail
EA	Enterprise Architecture
EDCS	Electronic Disability Control System
eDib	Electronic Disability System
EDR	Electronic Death Registration
EITA	Enterprise Information Technology Architecture

EM	Enterprise Model
E-R	Entity-Relationship
ERM	Electronic Records Management
ESD	Electronic Service Delivery
EVM	Earned Value Management
EVS	Enumeration Verification System
EWR	Electronic Wage Reporting
EWRS	Electronic Wage Reporting System
EWD	Employees with Disabilities

F

FACTS	Financial ACcounTing System
FAQ	Frequently Asked Questions
fax	facsimile
FDDS	Federal Disability Determination Services
FEA	Federal Enterprise Architecture
FI	Financial Institutions
FISMA	Federal Information Security Management Act
FIVR	Financial Interactive Voice Response System
FO	Field Office
FPPS	Federal Personnel/Payroll System
FSP	Foreign Service Post
FTE	Full-Time Equivalent
FTP	Full-Time Permanent File Transfer Protocol
FTS	Federal Telecommunications System
FY	Fiscal Year

G

GLTP	Graduate-Level Training Program
GOTS	Government-Developed Off-The-Shelf
GPEA	Government Paperwork Elimination Act
GPRA	Government Performance and Results Act

GUI	Graphical User Interface

H

HR	Human Resources
HRMIS	Human Resources Management Information System
HTML	Hypertext Markup Language

I

IAA	Inter-Agency Agreement
IDM	Imaging and Document Management
IDMS	Integrated Data Base Management System
IETF	Internet Engineering Task Force
IMRC	Internet Medicare Replacement Card
IP	Internet Protocol Immediate Payments
I-PLC	Internet Project Life Cycle
IPT	Intrusion Protection Team
IRM	Information Resources Management
IRIB	Internet Retirement Insurance Benefits
IRS	Internal Revenue Service
IS	Information Systems
ISA	Information Systems Architecture
ISBA	Internet Social Security Benefits Application
IT	Information Technology
ITA	Information Technology Architecture
ITAB	IT Advisory Board
ITMRA	Information Technology Management Reform Act
ITS	Information Technology Systems
IVEN	Interactive Validation Environment
IVT	Interactive Video Teletraining
IWS	Intelligent Workstation

J

JAD	Joint Application Design

K

kbps	kilobits per second

L

LoB	Lines of Business
LAN	Local Area Network

M

mbps	megabits per second
MCAS	Managerial Cost Accounting System
MI	Management Information
MISF	Management Information Services Facility
MOA	Memorandum of Agreement
MSP	Microsoft Project
MTAS	Mainframe Time and Attendance System

N

N8NN	National 800 Number Network
NAPHSIS	National Association of Public Health Statistics and Information Systems
NARA	National Archives and Records Administration
NCC	National Computer Center
NCSC	Network Customer Service Center
NIST	National Institute of Standards and Technology

O

OC	Office of the Commissioner
OCIO	Office of the Chief Information Officer
ODS	Operational Data Store

OESAE	Office of Enterprise Support Architecture and Engineering
OHA	Office of Hearings and Appeals
OITSP	Office of Information Technology Security Policy
OITSR	Office of Information Technology Systems Review
OMB	Office of Management and Budget
ONRS	Online Notice Retrieval System
OS	Office of Systems
OSSOM	Office of Systems Security Operations Management
OTSO	Office of Telecommunications and Systems Operations
OUTSS	Official Union Time Tracking System

P

PAR	Performance and Accountability Report
PBX	Private Branch Exchange
PC	Personal Computer
PDD	Presidential Decision Directives
PE	Postentitlement
PIN	Personal Identification Number
PKI	Public Key Infrastructure
PM	Project Manager
PMA	President's Management Agenda
PRIDE	Project Resource GuIDE
PRM	Performance Reference Model
PSC	Program Service Center

Q

QA	Quality Assurance
QC	Quality Control

R

RAD	Rapid Application Development
RAS	Resource Accounting System

RDBMS	Relational Data Base Management System
RFACTS	Financial Accounting System Replacement
RO	Regional Office
ROCC	Regional Operational Communications Center
ROI	Return on Investment
RRB	Railroad Retirement Board
RSDI	Retirement, Survivors and Disability Insurance

S

SDLC	System Development Life Cycle
SEF	Software Engineering Facility
SEI	Software Engineering Institute
SEPSC	Southeastern Program Service Center
SMS	System-Managed Storage Systems Management Server
SNA	Systems Network Architecture
SOLQ	State Online Query
SONET	Synchronous Optical Network
SOP	Strategic Objective Portfolio
SPI	Software Process Improvement
S-PLC	Standard Project Life Cycle
SQL	Structured Query Language
SRM	Service Reference Model
SRP	Systems Rotational Program
SSA	Social Security Administration
SSACISO	Social Security Administration's Chief Information Security Officer
SSANet	SSA Communications Network
SSASRT	SSA Agency-wide Security Response Team
SSI	Supplemental Security Income
SSL	Secured Sockets Layer
SSN	Social Security Number
SSR	Supplemental Security Record

SSS	Social Security Statement
STTP	Systems Technical Training Program
SUMS	Social Security Unified Management System

T

TCP	Transmission Control Protocol
TDD	Telecommunications Device for the Deaf
TIB	Technology Innovation Board
TM	Travel Manager
TONS	Training Online Nomination System
TPPS	Third Party Payment System
TRM	Technical Reference Model
TSC	TeleService Center
TSR	TeleService Representative
TTS	Text-to-Speech
TWG	Technical Work Group

U

UC	Usability Center
UDB	Universal DDS Backbones
UPS	Uninterruptible Power Supply
US-CERT	United States Computer Emergency Readiness Team

V

VISOR	Vital Signs and Observations Report
VoIP	Voice over Internet Protocol
VPN	Virtual Private Network
VTC	Video Teleconferencing

W

WAN	Wide Area Network
WBS	Work Breakdown Structure

WESCO	WebGovernance Steering Committee
WMS	Workload Management System

X

XML	Extensive Markup Language

Z

z/OS	Operating System Software

Index